

CloseAction instance. In some preferred embodiments, this will close the order. In other embodiments, the CloseAction instance will trigger a message to the ordering system, which will close the order according to its mechanisms.

The preferred embodiments are not immune from system crashes and therefore the preferred embodiments attempt to ensure accuracy in order tracking and execution by isolating actions through queues and messaging. Moreover, objects, if tracked, can be recreated if the system crashes. SysAction objects, if created, are saved in a journal. If a crash occurs, and upon restarting, the Core Processing Area scans the journal, effectively as an input stream, reading in each SysAction object and providing whatever executions are necessary. This will have the effect of re-creating the order hierarchy as it was before the crash. Additionally, the preferred embodiments use an initialization recovery flag set by the AlgorithmContext object at the beginning of its instantiation. This recovery flag allows for the tracking of and thus re-creation of any registered event interests, as well as initialization and recovery of the order after a crash and subsequent system recovery.

The preferred embodiments also create an image file on a regular basis, perhaps at intervals as short as an hour or so. Every interval, the complete order state is dumped to two alternate mirror image files, which provides backup and possible replacement for the journal. The image files retain an order hierarchy and this hierarchy can be read post crash if necessary. The journal file will then provide the latest update.

The sophistication of the system makes constant testing necessary. Testing can occur through trader feedback, evolution and updating of an algorithm once it is in production. Simulated information feeds can also be used, in the preferred embodiments, to test the system.

The above description and the views and material depicted by the figures are for purposes of illustration only and are not intended to be, and should not be construed as, limitations on the invention.

Moreover, certain modifications or alternatives may suggest themselves to those skilled in the art upon reading of this specification, all of which are intended to be within the spirit and scope of the present invention as defined in the attached claims.

## CLAIMS

We claim:

1. A method for computerized trading comprising:
  - inputting a trading order into a logic engine;
  - using a first plug-in in said logic engine for implementing a trading strategy;
  - inputting data for said order into said logic engine;
  - processing the order with said logic engine, using said plug-in; and,
  - executing said order.
2. A method as in claim 1, wherein the step of inputting a trading order into a logic engine further comprises inputting an order through an ordering system.
3. A method as in claim 2, wherein the step of inputting an order through an ordering system further comprises inputting a ComplexOrder through an ordering system.
4. A method as in claim 3, wherein the step of processing the order with said logic engine, using said plug-in, further comprises deconstructing said ComplexOrder into at least one Event and Action.
5. A method as in claim 1, wherein the step of executing said order further comprises outputting said order through an ordering system.

6. A method for computerized trading comprising:
  - inputting a ComplexOrder into a logic engine through an ordering system;
  - using a first plug-in in said logic engine for implementing a trading strategy;
  - inputting data for said order into said logic engine;
  - processing the order with said logic engine, using said plug-in through deconstructing said ComplexOrder into Events and Actions; and,
  - executing said order through outputting said order through an ordering system.
7. The Event and Action produced by the method of claim 4.
8. An apparatus for computerized trading comprising:
  - a logic engine for processing trading orders;
  - an interface to said logic engine;
  - a first plug-in in said logic engine for implementing a trading strategy.whereby said logic engine processes orders received via said interface.

9. An apparatus for computerized trading comprising:
- a logic engine for processing trading orders;
  - a first interface to said logic engine for processing orders;
  - a second interface to said logic engine for processing orders;
  - a first plug-in in said logic engine for implementing a trading strategy.
- whereby said logic engine processes orders received via either of said first and second interfaces.
10. An apparatus as in claim 9, wherein said first interface further comprises an Input driver.
11. An apparatus as in claim 9, wherein said second interface further comprises an Exchange driver.
12. An apparatus as in claim 9 wherein said first interface further comprises an interface to an ordering system.
13. An apparatus as in claim 9 wherein said second interface further comprises an interface to an ordering system.
14. An apparatus as in claim 9 wherein said logic engine further comprises a Core Processing Area.



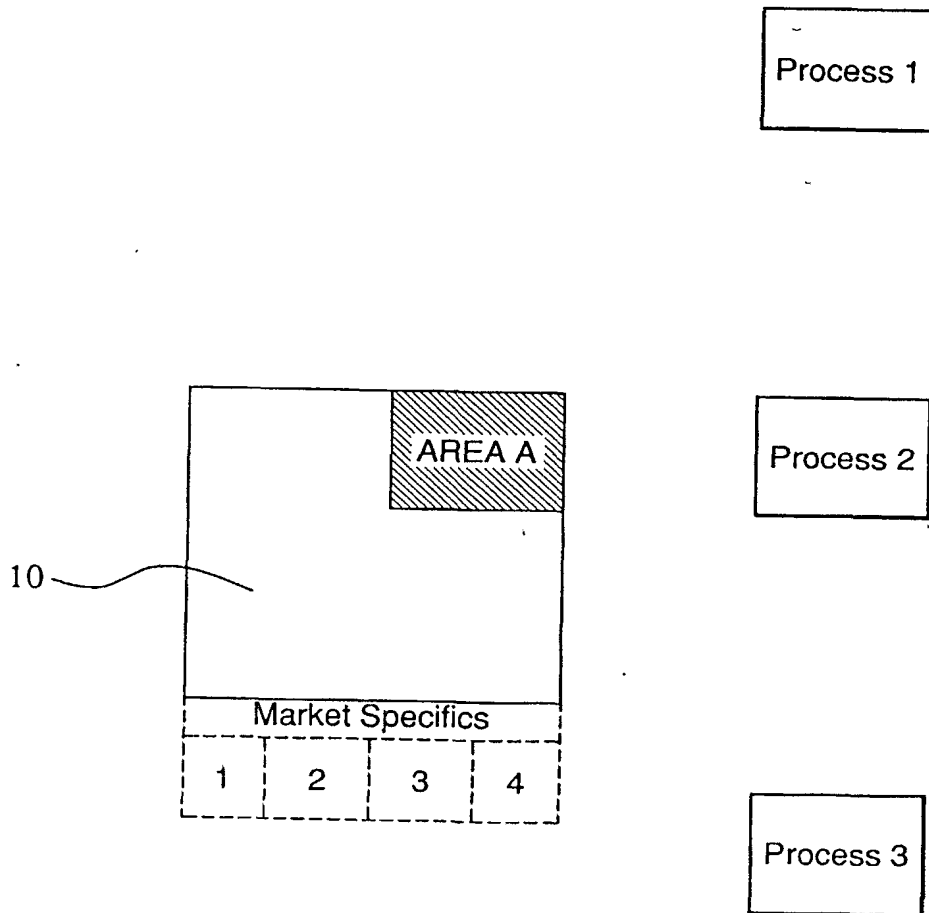


FIG. 1

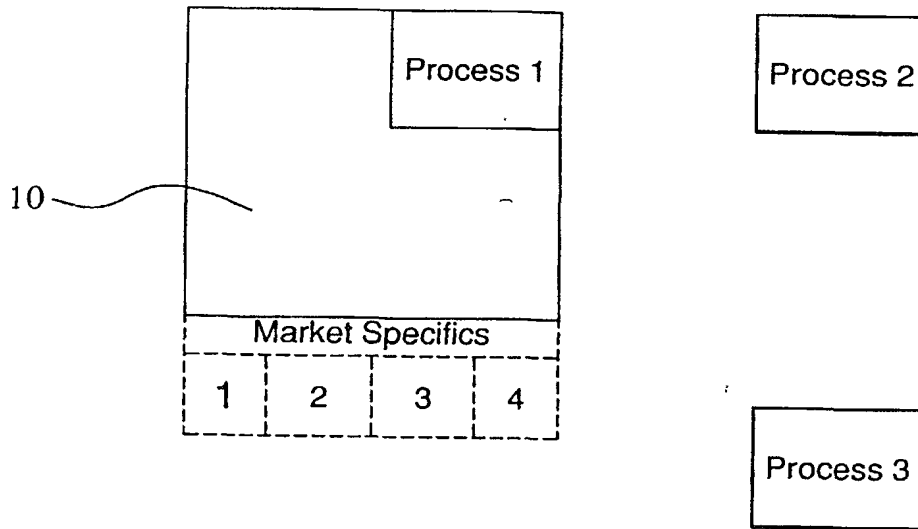


FIG. 2

Administration Tool

File View Server Look 'n' Feel Help

Order Tracker Algorithm Configuration Server Monitor

New Expand all Collapse... Details Fire event Suspend Resume Cancel

all	Id	Created	Tag	Algorithm/Type	Side	Instrum..	Pnce	Quantity	Executed	To Execute	%Com..	Susp
	alpha-465											
	360	08:57:56		TWWAP	Buy	AXP		200000.0	63351.0	136649.0	31.69	<input type="checkbox"/>
	10680	10:51:56	Marketmaking-66	Limit	Buy	AXP	50.3125	2823.0	523.0	2300.0	18.53	<input type="checkbox"/>
	420	09:07:30		TWWAP	Buy	BUD		88470.0	21838.0	66632.0	24.69	<input type="checkbox"/>
	10640	10:51:40	Marketmaking-48	Limit	Buy	BUD	78.875	1187.0	0.0	1187.0	0.0	<input type="checkbox"/>
	440	09:08:38		TWWAP	Buy	MO		247240.0	68292.0	178948.0	27.52	<input type="checkbox"/>
	10460	10:49:12	Marketmaking-40	Limit	Buy	MO	28.1875	2899.0	0.0	2899.0	0.0	<input type="checkbox"/>
	460	09:09:30		TWWAP	Buy	UNH		45340.0	10777.0	34563.0	23.77	<input type="checkbox"/>
	10660	10:51:50	Marketmaking-57	Limit	Buy	UNH	77.125	360.0	160.0	200.0	44.44	<input type="checkbox"/>
	490											
	700	09:19:09		TWWAP	Sell	C		230130.0	72781.0	157349.0	31.63	<input type="checkbox"/>
	10520	10:50:00	Marketmaking-68	Limit	Sell	C	60.5	3281.0	0.0	3281.0	0.0	<input type="checkbox"/>
	720	09:19:55		TWWAP	Sell	C		230100.0	74454.0	155646.0	32.36	<input type="checkbox"/>
	10530	10:50:00	Marketmaking-69	Limit	Sell	C	60.5	3281.0	0.0	3281.0	0.0	<input type="checkbox"/>
	850	09:22:18		TWWAP	Buy	XOM		13600.0	3715.0	9885.0	27.32	<input type="checkbox"/>
	950	09:23:54		TWWAP	Buy	NOK		188200.0	62228.0	125972.0	33.06	<input type="checkbox"/>
	920	09:23:58		TWWAP	Buy	HON		180100.0	48113.0	131987.0	26.71	<input type="checkbox"/>
	10690	10:51:58	Marketmaking-56	Limit	Buy	HON	53.275	1050.0	0.0	1050.0	0.0	<input type="checkbox"/>
	10710	10:52:29	Marketmaking-67	Limit	Buy	HON	53.4375	690.0	0.0	690.0	0.0	<input type="checkbox"/>

FIG. 3

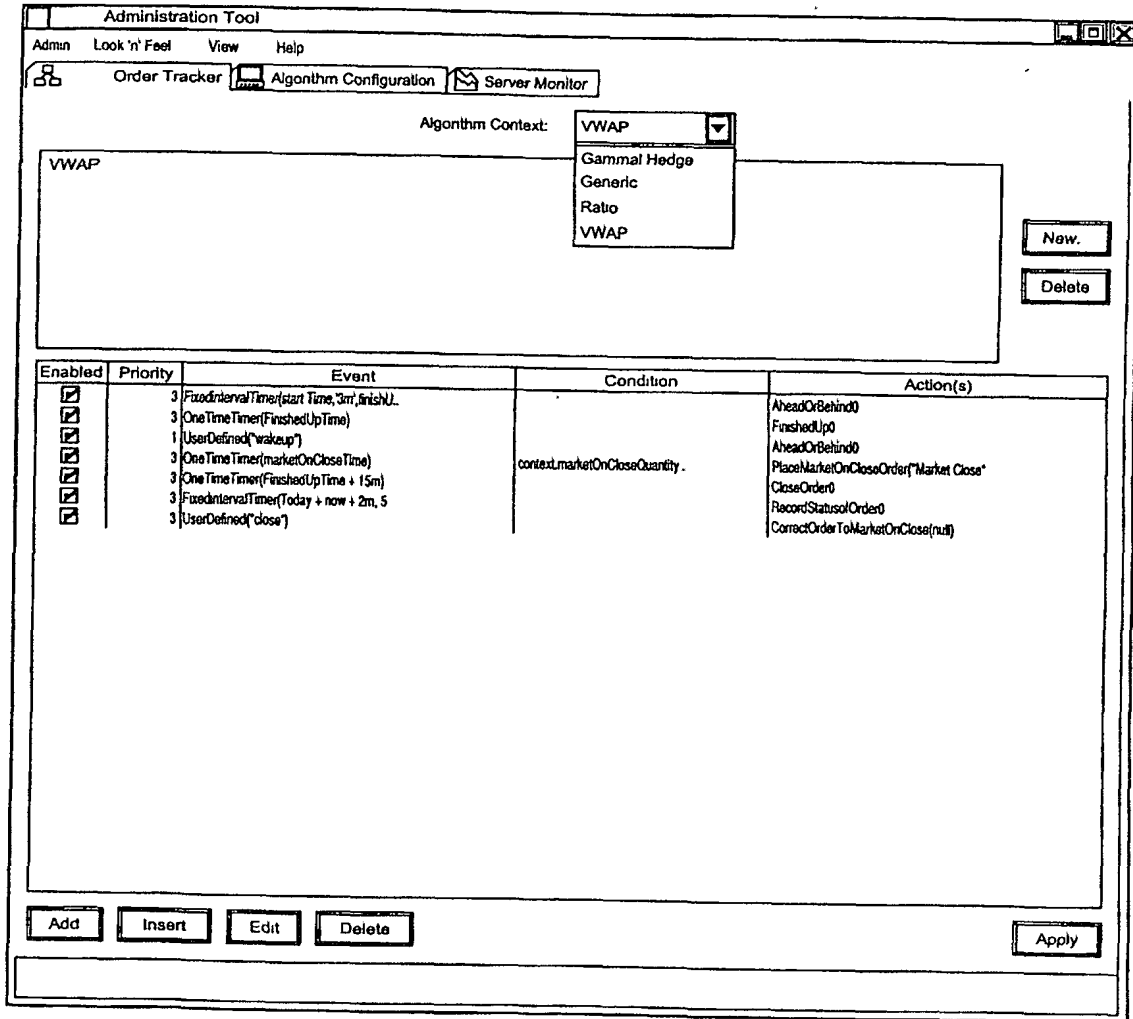


FIG. 4

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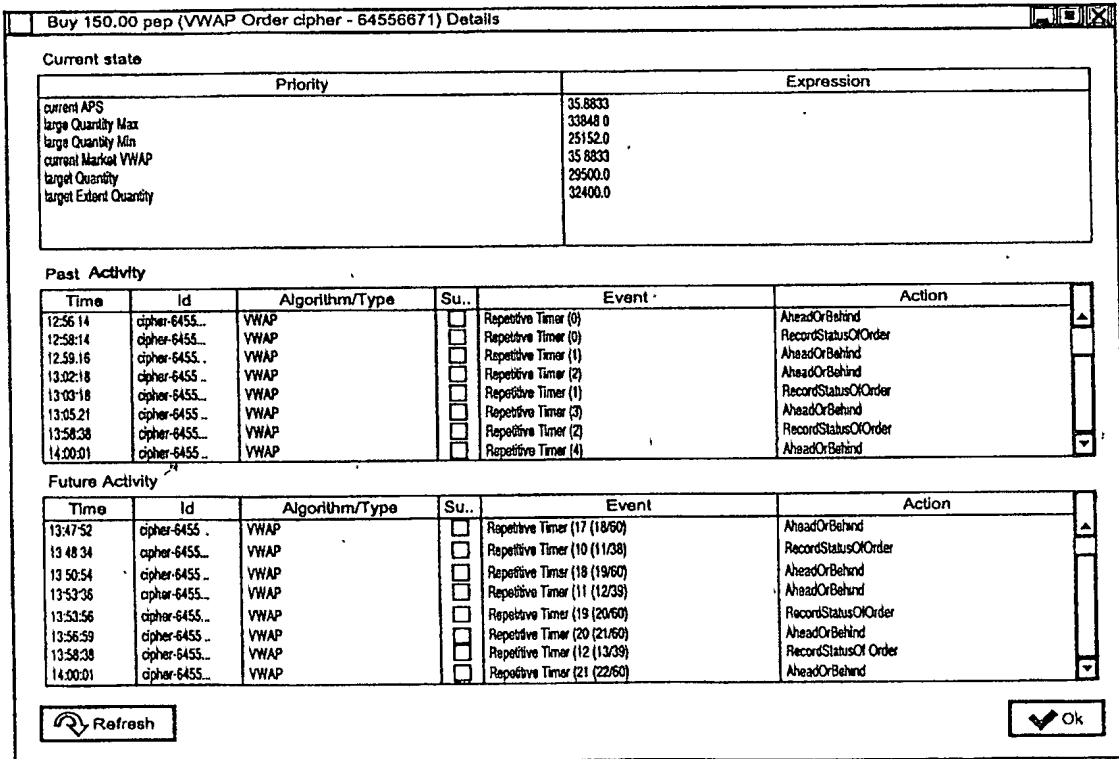


FIG. 5

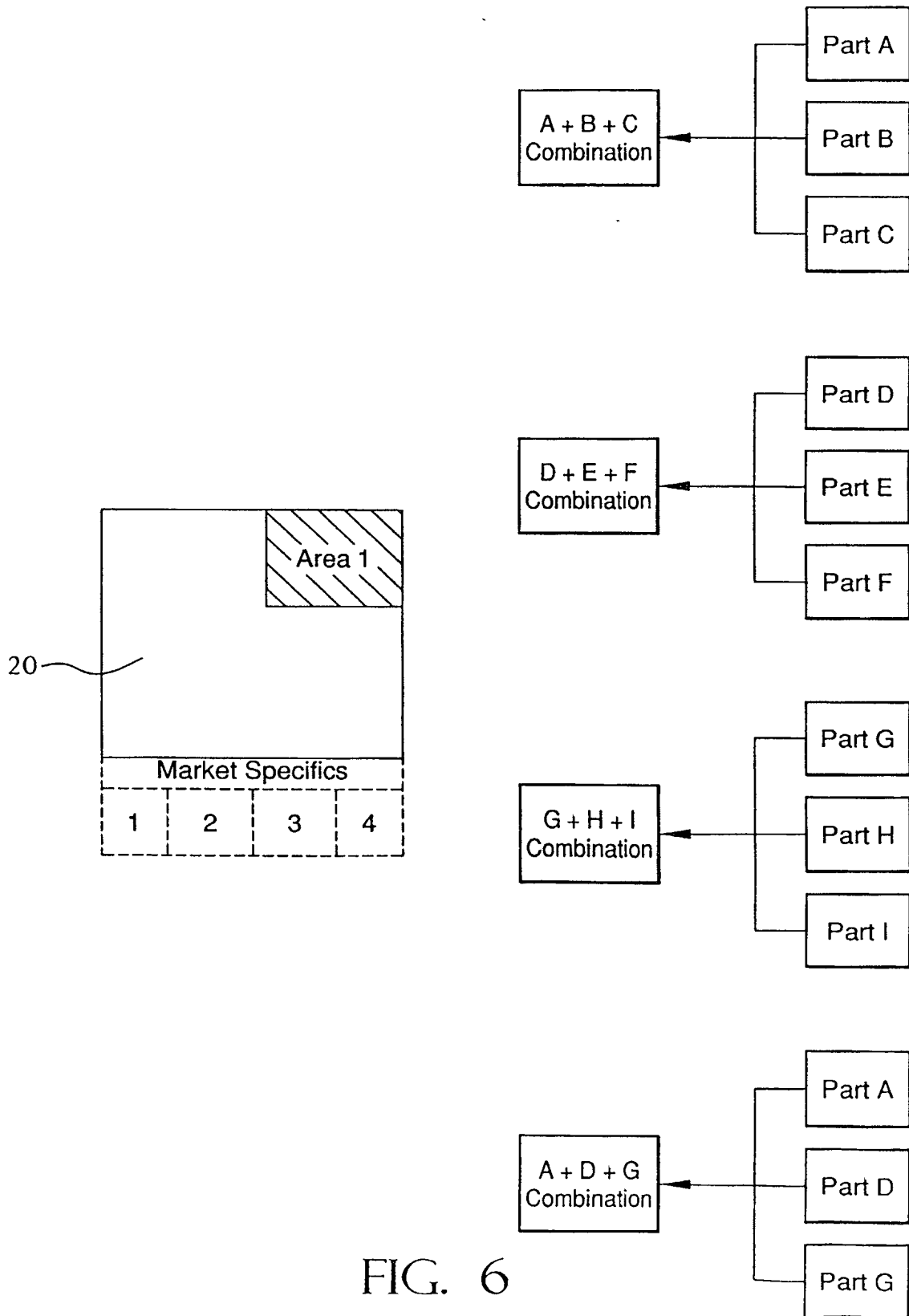


FIG. 6

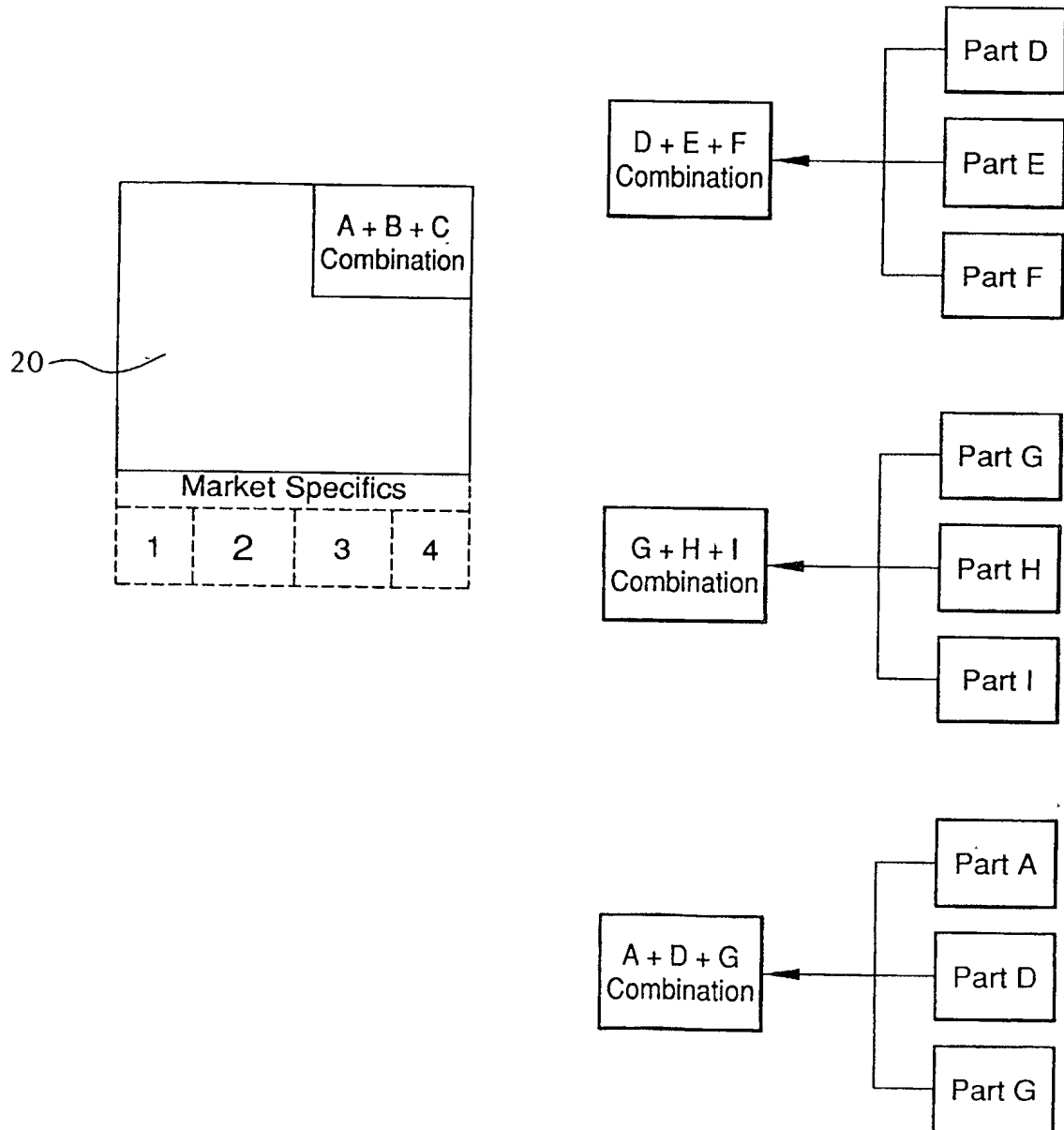


FIG. 7

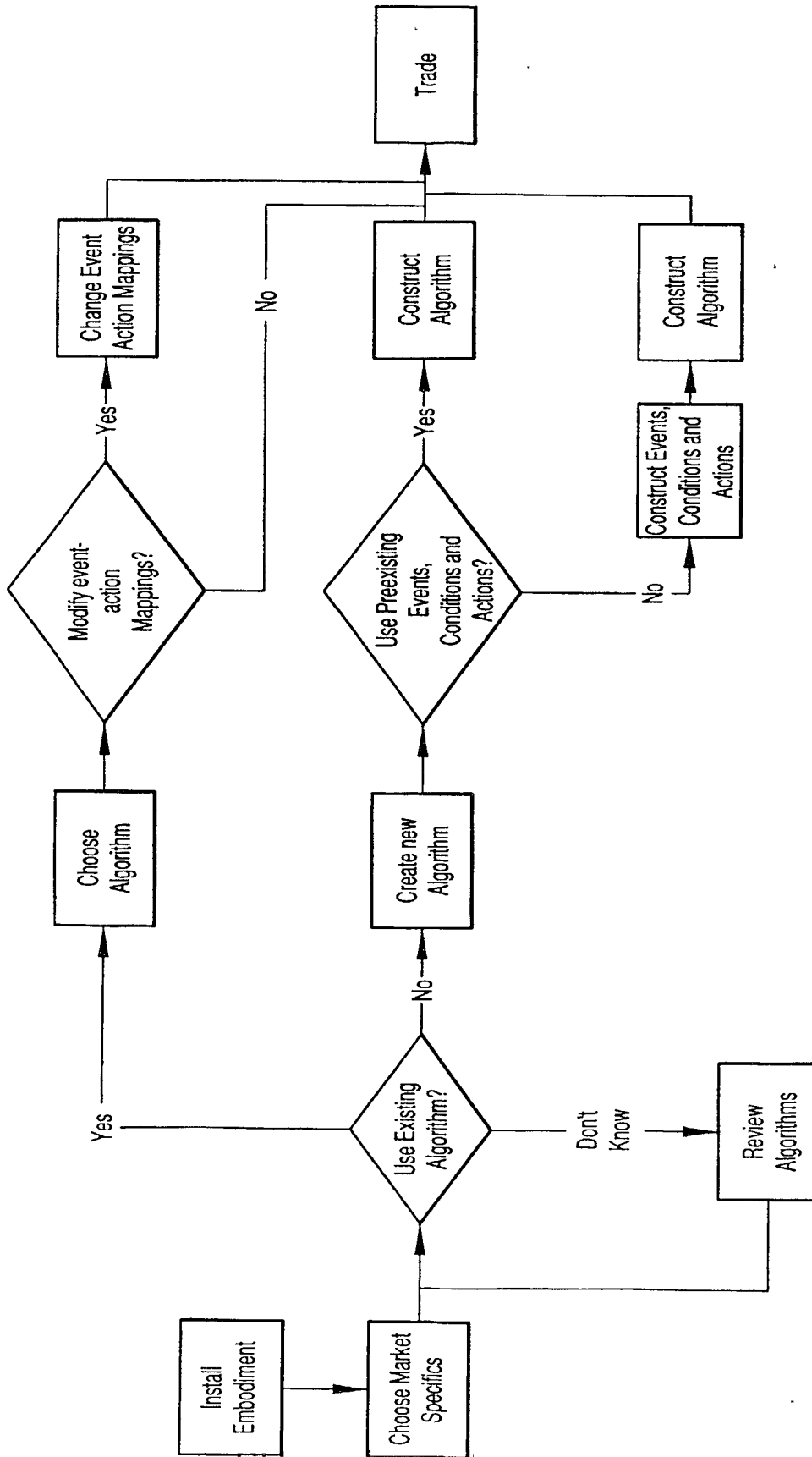


FIG. 8



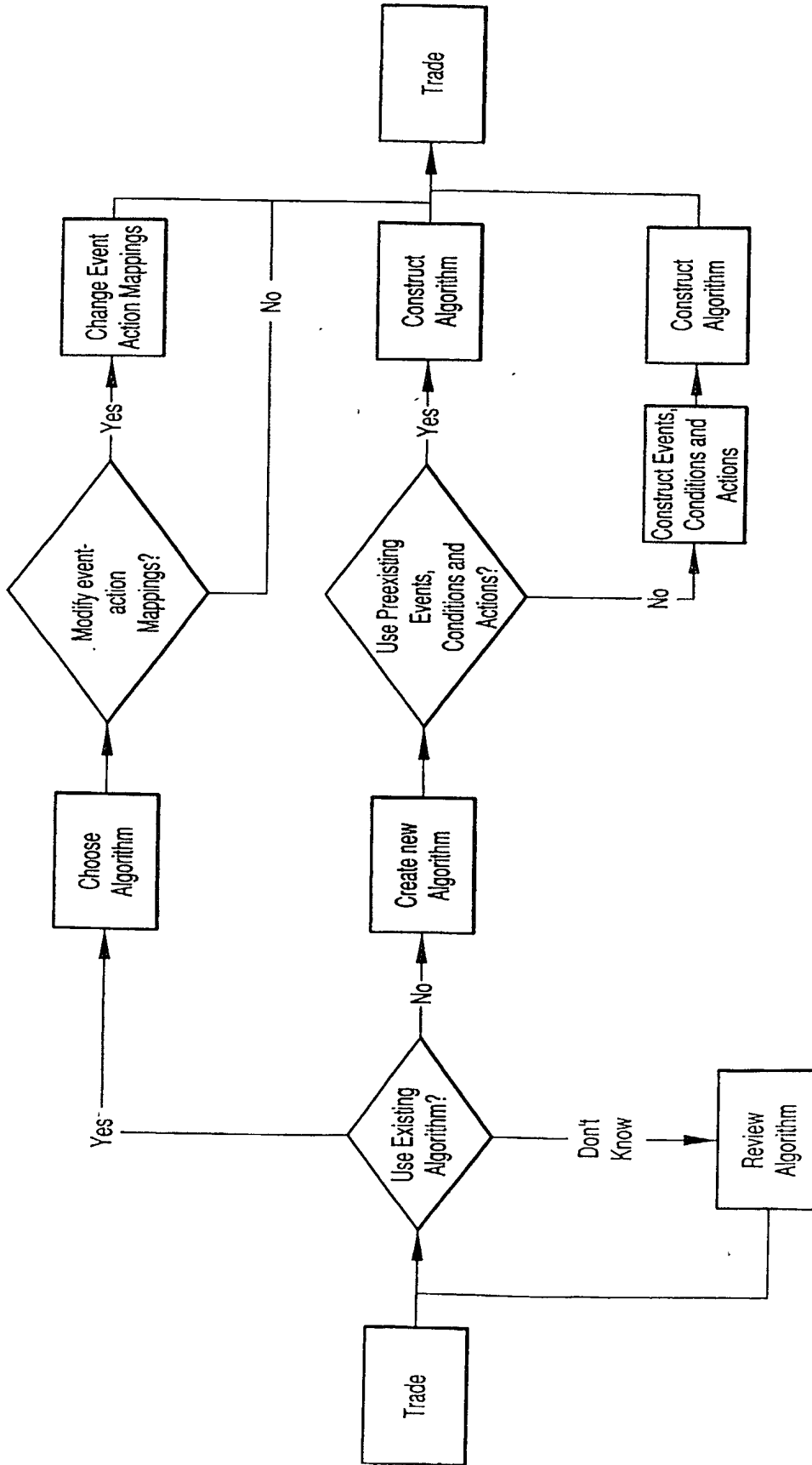


FIG. 9

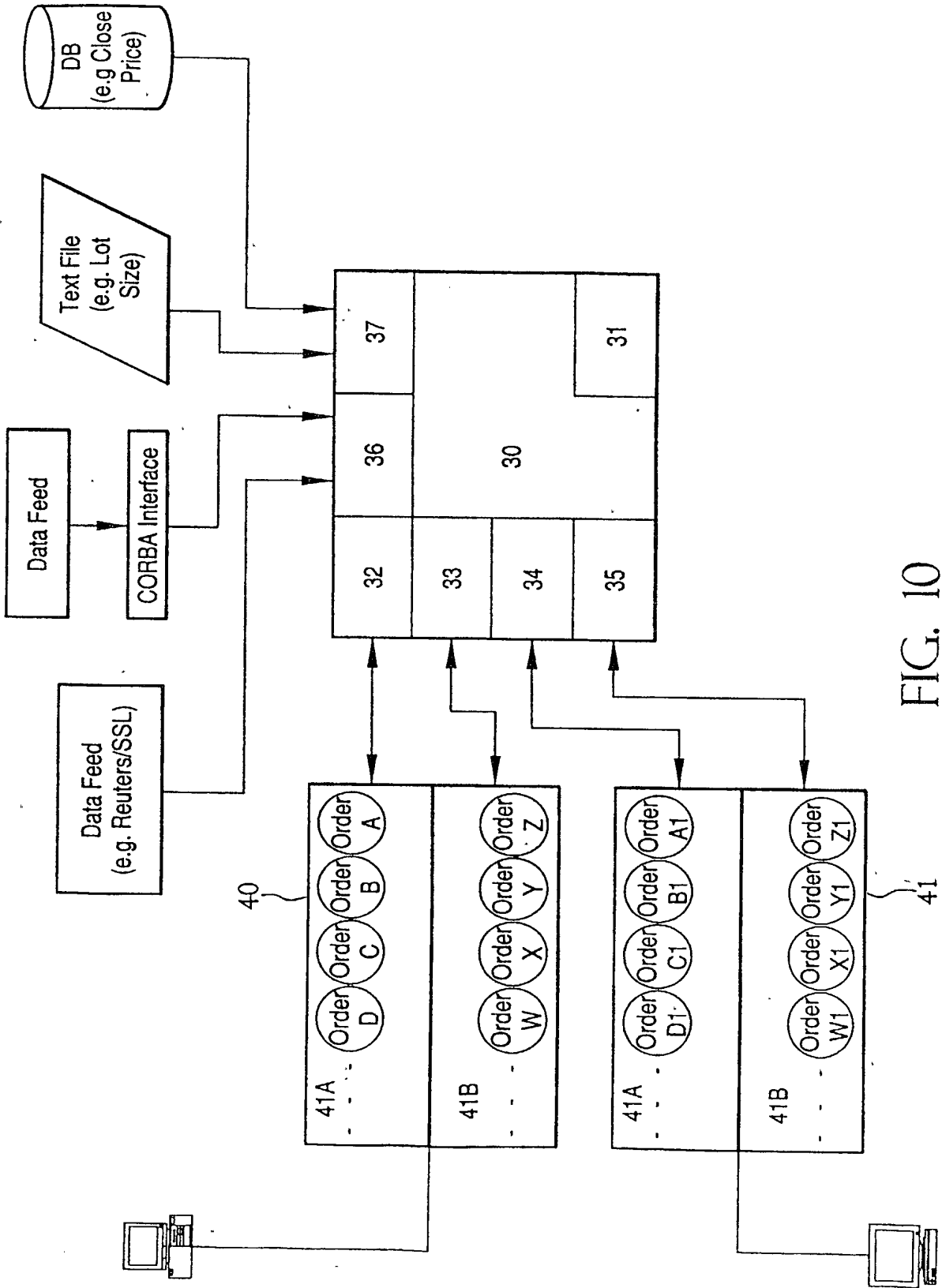


FIG. 10

**INTERNATIONAL SEARCH REPORT**

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**A. CLASSIFICATION OF SUBJECT MATTER**  
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 US CL : 705/37  
 According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**  
 Minimum documentation searched (classification system followed by classification symbols)  
 U.S. : 705/37, 35, 36; 340/825.26, 825.27; 707/104.1

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)  
 USPAT, JPO, EPO, Derwents WPI, IBM TDB

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 6,119,104 A (BRUMBELOW et al.) 12 September 2000 (12.09.2000), see abstract and column 4, line 61 - column 5, line 5.	1-14
Y	US 6,026,440 A (SHRADER et al.) 15 February 2000 (15.02.2000), see abstract and entire document.	1-14
A	US 5,434,395 A (STORCK et al.) 18 July 1995 (18.07.1995), see abstract.	1-14

Further documents are listed in the continuation of Box C.       See patent family annex.

* Special categories of cited documents:	
"A" document defining the general state of the art which is not considered to be of particular relevance	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
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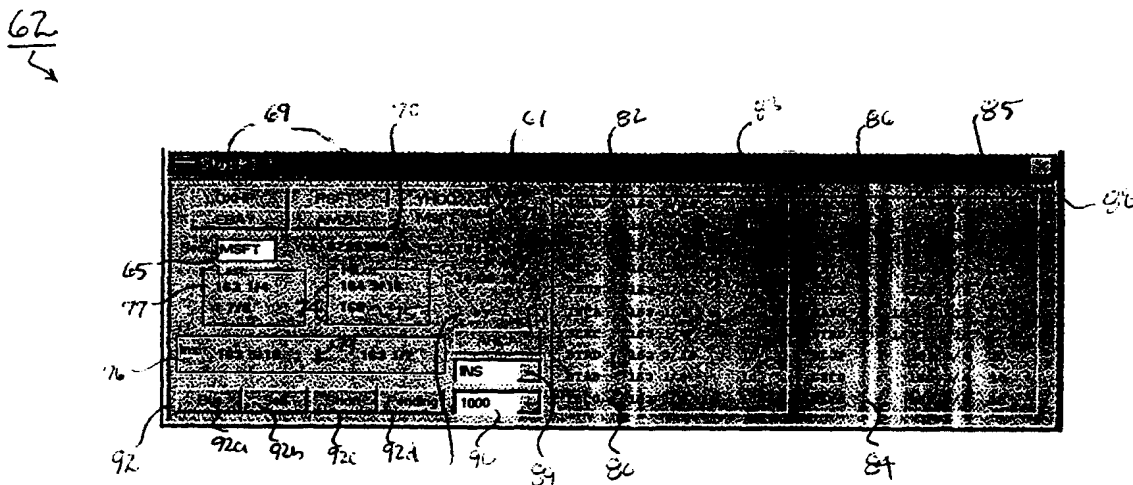
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[Continued on next page]

(54) Title: DISPLAYING INFORMATION RELATING TO SECURITIES



(57) Abstract: A graphical user interface (GUI) displays information (62) that relates to a transaction in a security. The information includes an identifier (65) that corresponds to the security, the transaction performed with respect to the security, a number of shares (70) of the security involved in the transaction, and a price (74) of the security in the transaction. Different prices are displayed in different colors.



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DISPLAYING INFORMATION RELATING TO SECURITIES

Background of the Invention

This invention relates to displaying information  
5 relating to securities.

Computerized trading of securities, such as stocks and  
bonds, has grown in popularity in recent years. To make  
informed decisions about buying or selling securities,  
traders need access to different types of information. For  
10 example, a trader may need the bid and ask prices of a  
security from various "market makers" (brokerage firms), the  
number of shares traded in that security over a time period,  
and the high and low prices during that time period.

It may also be valuable for a trader to know other  
15 information as well. In particular, a trend in a security's  
performance may affect a trader's decision to buy or sell  
that security. For example, if a stock has just gone below  
its previous closing price ("PCL"), a trader may be more or  
less likely to purchase that stock depending upon the  
20 traders's strategy.

Summary

This invention is directed to obtaining information about securities and provides ways of displaying that information in one or more graphical user interfaces ("GUI"). For example, in one embodiment, the invention detects events occurring for a security, such as the security crossing its PCL, and displays that information in a GUI. In another embodiment, the invention displays price fluctuations of a security over a selected time period, such as an hour, a day, or a month.

In its various embodiments, the invention provides traders with useful information about securities that is organized logically and in a way that is easy to understand. Network connections provide the trader with a way to transact in the securities using this information.

In general, in one aspect, the invention is directed a GUI that includes index display areas for displaying different security indices. The GUI also includes change display areas, each of which are associated with a corresponding index display area. Each of the change display areas displays a change in a corresponding security index over a predetermined time period.

This aspect of the invention may include one or more of the following features. The index display areas include areas for displaying the Dow Jones® Industrial Average, the NASDAQ® Composite, and the NASDAQ® 100 Composite. The  
5 predetermined time period is an intraday time period. The GUI is generated by a computer program that is stored on a computer-readable medium.

In general, in another aspect, the invention is directed to a GUI that displays information about a  
10 security. The information includes an identifier that corresponds to the security, a value of a last trade in the security, and a difference between the value and a previous closing value of the security.

This aspect of the invention may include one or more of  
15 the following features. The value of the last trade is color-coded to indicate whether the value of the last trade is higher than, or lower than, the previous closing value of the security. The information cascades during display. The information is updated after a trade in the security. The  
20 GUI is generated by a computer program that is stored on a computer-readable medium.



In general, in another aspect, the invention is directed to a GUI that displays information relating to trading activity in a security. The information includes an identifier that corresponds to the security, a time of a last trade in the security, an identity of the last trade, a price of the security in the last trade, and a volume of the security in the last trade.

This aspect of the invention may include one or more of the following features. The identity of the last trade is one of a sale or change in inside bid or ask prices of the security. At least some of the information displayed in the GUI is color-coded to indicate if the price of the last trade is greater than or equal to a price of the security in a trade that preceded the last trade. The information cascades during display. The GUI is generated by a computer program that is stored on a computer-readable medium.

In general, in another aspect, the invention is directed to a GUI that displays information that relates to a transaction in a security. The information includes an identifier that corresponds to the security, the transaction  
5 performed with respect to the security, a number of shares of the security involved in the transaction, and a price of the security in the transaction.

This aspect of the invention may include one or more of the following. The information includes an open position  
10 with respect to the security. The transaction includes one of buying the security, selling the security, or selling the security short. The GUI is generated by a computer program that is stored on a computer-readable medium.

In general, in another aspect, the invention is  
15 directed to a GUI that displays information relating to transactions in a securities portfolio. The information includes an identifier that corresponds to the security, the transaction performed with respect to the security, a number of shares of the security in the transaction, a price  
20 of the security in the transaction, a total value of the transaction, and a balance in a trading account that corresponds to the portfolio.

This aspect may include one or more of the following features. The transaction is one of buying the security, selling the security, or selling the security short. The information is displayed for a predetermined time period.

5 The predetermined time period may be an intraday time period and/or an overnight or any other conceivable time period. The GUI is generated by a computer program that is stored on a computer-readable medium.

In another aspect, the invention is a GUI for

10 displaying information about securities. The GUI includes selectable tabs that correspond to categories of securities, and an area which displays information relating to events that occur for securities corresponding to a selected tab.

This aspect of the invention may include one or more of

15 the following features/functions. The categories of securities may be organized by a user. The events may include one or more of the security hitting a PCL, the security passing the PCL, the security equaling or exceeding a high or low price, and the security bouncing off the high

20 or low price. The information displayed on the GUI may be color coded. The information may be displayed in association with a price of the security, a trade volume of

the security, and an identifier for the security.

The GUI may include a transaction button which controls display of a second GUI for transacting in a security displayed on the first GUI. The second GUI may include a  
5 field for entering blocks of shares of the security, and selectable buttons for initiating transactions for the blocks of shares entered in the field. The second GUI may display one or more of the following for a selected security: a PCL, a high price for a period of time, a low  
10 price for a period of time, inside bid and ask prices, and information pertaining to a last trade in the security.

A computer program, which is stored on a computer-readable medium, may be used to generate the GUI. The GUI may be generated on an apparatus which includes a processor  
15 and a memory that stores the computer program.

In another aspect, the invention receives data related to securities, and analyzes the data to detect events relating to the securities. Information relating to the events is then provided for display.

20 In this aspect, analyzing may include determining if a security has passed a PCL, determining if the security is at a PCL, determining if the security is at a high or low price

for a specified time period, and/or determining if the security bounced off a high or low price.

In still another aspect, the invention is a GUI for transacting in securities. The GUI includes selectable  
5 buttons that correspond to securities, a first area which displays selling information for a security that corresponds to a selected button, and a second area which displays buying information for the security.

This aspect of the invention may include one or more of  
10 the following features/functions. The selling information may include bid prices of market makers. The bid prices may be arranged from highest to lowest. The buying information may include ask prices of market makers. The ask prices may be arranged from highest to lowest. One or more of the  
15 following information may be displayed for the security: a number of shares of the security that have been traded, a PCL, a high price for a period of time, a low price for a period of time, and inside bid and ask prices.

The GUI may include a field for entering blocks of  
20 shares of the security, and selectable buttons for initiating transactions for the number of blocks entered in the field. A computer program may be used to generate the

GUI. The GUI may be generated on an apparatus which includes a memory and a processor. The GUI may include transaction buttons for initiating transactions relating to securities that correspond to the selectable buttons. The apparatus may include a network interface over which data is transmitted for a transaction.

In still another aspect, the invention is a GUI which displays information relating to securities. The GUI includes an entry field for entering a security, and buttons for selecting time periods. An area is provided on the GUI for displaying prices of the security in the entry field over a time period selected by a button.

The GUI may also include buttons for selecting a display format of the prices, and an area which displays a trading volume of the security in the entry field over the time period selected by a button. The buttons may comprise a button for displaying the prices in chart form and a button for displaying the prices in list form. The GUI may be generated by a computer program and on an apparatus which includes a processor and a memory.

In still another aspect, the invention is a securities trading program, stored on a computer-readable medium, which

generates multiple windows for displaying securities information. The securities trading program includes instructions that cause a computer to generate a first window which displays a price of a selected security over a time period, to generate a second window which displays information relating to performance of selected securities, and to generate a third window for transacting in securities, the third window including buying and selling information for selected securities.

10           This aspect of the invention may include on or more of the following features/functions. The first window may include an entry field for entering a security, buttons for selecting time periods, and an area for displaying prices of the security in the entry field over a time period selected by a button. The second window may include selectable tabs that correspond to categories of securities, and an area which displays performance information for securities that correspond to a selected tab. The third window may include selectable buttons that correspond to securities, a first area which displays selling information for a security that corresponds to a selected button, and a second area which displays buying information for the security.

This summary has been provided so that the nature of the invention can be understood quickly. A detailed description of illustrative embodiments of the invention is set forth below.

5

Description of the Drawings

Fig. 1, comprised of Figs. 1a and 1b, is a block diagram of a network in one embodiment of the invention.

10 Fig. 2 is a view of a GUI for logging into the network of Fig. 1.

Fig. 3 is a block diagram of software used to generate windows for displaying stock information.

Fig. 4 is a view of a quote profiler window.

Fig. 5 is a view of a history window.

15 Fig. 6 is a view of an alternative history window.

Fig. 7 is a view of a trendspotter window.

Fig. 8 is a view of a list editor dialog box.

Fig. 9 is a view of a trend analysis window.

20 Fig. 10, comprised of Figs. 10a, 10b, 10c and 10d, is a flowchart showing a process for analyzing trends in stock activity.

Fig. 11 is a view of an index indicator window.



Fig. 12 is a view of a stock ticker window.

Fig. 13 is a view of a time and sales window.

Fig. 14 is a view of a position manager window.

Fig. 15 is a view of a trader profit and loss window.

5

#### Description

Fig. 1 shows a network system 10 according to one embodiment of the invention. Conceptually, network system 10 can be divided into trader network 12 (Fig. 1b) and data feed network 11 (Fig. 1a); though these two networks may be part of a single, larger network. Briefly, data feed network 11 receives and stores information in various servers. Traders access this information via trader network 12, and execute trades based on this information.

15 Data feed network 11 includes client proxies 14, servers 15, bridge 16, and satellite receiver 17.

Satellite receiver 17 maintains an RF (radio frequency) link to a communications satellite (not shown). A data feed 19, such as the Standard & Poor Comstock data feed, is received over this RF link. Alternatively, data feed 19 may be received over telephone lines via a modem link (not shown) to data feed network 11.

Data feed 19 includes information relating to securities, in this embodiment, stocks. Information in the data feed is time-indexed and updated periodically. Among the information transmitted in data feed 19 are stock  
5 prices, identities of market makers that offer the stock prices, and stock exchanges on which the stocks are listed.

Data feed 19 is provided to servers 15 via satellite receiver 17 and bridge 16. Servers 15 are computer programs that extract specific information from data feed 19 and  
10 provide that information to trader network 12. For example, quote servers 15a and 15b handle current stock prices, and information relating thereto. Level II servers 15c and 15d handle market maker information, such as bid prices (the highest price a market maker is willing to pay for a stock)  
15 and ask prices (the lowest price a market maker is willing to sell a stock). History server 15e maintains a record of stock prices over a period of time, including previous stock highs and lows, stock volumes, PCLs, and the like. NYSE (New York Stock Exchange) quote server 15f handles  
20 information relating to stocks listed on the NYSE. Six servers are shown in Fig. 1; however, servers may be added to, or removed from, data feed network 11 as desired.

Servers 15 may run on a single computer or multiple computers as needed. In the embodiment of Fig. 1, each server is executed on a separate computer having a processor 20 and a memory 21 which stores server modules 22 (see view 5 24). Server modules 22 are instructions (computer code) that are executable by processor 20 to perform the server functions described below.

Module 22a receives data feed 19, interprets its contents, and extracts portions of data feed 19 that are 10 relevant to server 15a. Module 22b stores the extracted portions of data feed 19 in memory. Module 22c handles requests for information from trader network 12. For example, when module 22c receives a request for information, it determines what information is being requested and from 15 where, retrieves the requested information from memory, and outputs the requested information accordingly.

Client proxies 14 are computer programs, executing on one or more computers, which mediate requests for information between trader network 12 and data feed network 20 11. For example, client proxies 14 direct requests to appropriate server(s) based on the content of those requests. Client proxies 14 also perform any protocol

conversions or other processing required for communicating between data feed network 11 and trader network 12.

Trader network 12 includes frame relay connection 25, database server 26, execution servers 27, authentication  
5 server 29, Internet connection 30, and trader terminals 31.

Trader terminals 31 are personal computers ("PC"). Alternatively, they may be "dumb" terminals of a mainframe computer, or any other type of computing device that is capable of processing and displaying information. As shown  
10 in close-up view 32, a trader terminal 31a includes a processor 34 and a memory 35, which stores computer instructions, namely trading code 36.

Trading code 36 generates various GUIs that are used by a trader to request information relating to stocks, to view  
15 that information, and to transact in stocks. Specifically, trading code 36 generates and displays a window depicting the trading history of a stock, a window depicting stock trends, and a window for transacting in stocks, among others. A detailed description of trading code 36 is  
20 provided below.

Frame relay connection 25 connects networks 11 and 12 to related network 13 via a dedicated line or virtual

private network ("VPN"). The components shown in Fig. 1 may be included at one site, such as a building or office. Frame relay connection 25 thus enables remote traders to access the services available at that site via network 13.

5 Execution servers 27 are computer programs that receive transaction requests from trader terminals 31, and forward such requests to specified market networks 23. In Fig. 1, there is a one-to-one correspondence between servers and market networks or trading systems. For example,  
10 Archipelago® has its own server and Island® has its own server. However, this is not a requirement. For example, one server may support more than one market network or two servers may support the same market network. Likewise, a single computer (with processor and memory) may be used to  
15 execute a single execution server, a combination of execution servers, or all of execution servers 27.

Authentication server 29 is a computer, or other device, which executes computer programs for determining the identity of users when they log into trader network 12. For  
20 example, at login, a trader terminal 31a will display window 37 (Fig. 2) to the potential user. The user then must enter a password and user ID (identifier) in order to enter trader

network 12. This information is passed to authentication server 29, which uses it to determine if the user is authorized to access trader network 12. If the user is so authorized, server 29 permits access to trader network 12; otherwise access is denied.

Database server 26 maintains a record of transactions executed on trader network 12. To this end, database server 26 includes a memory for storing transaction records and a processor for retrieving that information upon request (not shown). Each time a transaction takes place, information is provided to database server 26 identifying the transaction (e.g., by stock, number of shares traded, price) and the trader. This information is stored in a transaction record on database server.

Internet connection 30 includes standard hardware and software for maintaining a connection, such as a VPN, to remote traders on the Internet. For example, one or more Internet servers 40 may be provided, which pass data between trader network 12 and the Internet, thereby allowing traders on the Internet to access the services available on trader network 12. Mail server 41 controls the transmission of electronic mail between trader network 12 and the Internet.

Firewall 42 is provided for security purposes, and performs packet filtering and the like to keep unauthorized users from accessing trader network 12. A T1 line 44 provides high-speed Internet access.

5 Referring to Fig. 3, the architecture of trading code 36 is shown. Included in trading code 36 are GUI input module 45, GUI output module 46, function key processing module 47, quote view manager 49, trendspotter manager 50, history chart manager 51, login manager 52, execution  
10 manager 54, and query/receive parser 55.

Query/receive parser 55 receives information from data feed network 11, examines that information, and separates the information based on its content and/or source. For example, information from history server 15e is provided to  
15 history chart manager 51 (described below), and information from quote servers 15a and 15b is provided to quote view manager 49. The information may be parsed and routed using source and destination network addresses.

Query/receive parser 55 also transmits requests for  
20 information from a trader to trader network 12. For example, if a request is input via a GUI (shown below) for stocks listed on the NYSE, query/receive parser 55 directs

the request to NYSE server 15f via network 12.

Login manager 52 generates and displays GUI 37 shown in Fig. 2. It also takes the inputs of user ID field 56 and password field 57, and transmits that information to authentication server 49 (which processes the information as described above). Entered information is transmitted by login manager 52 in response to user selection of logon button 59. Window 37 is exited using exit button 60.

Execution manager 54 receives transaction requests from GUI input module 45, and forwards those requests to execution servers 27 via trader network 12. GUI input module 45 also provides inputs to other modules as shown. GUI output module 46 receives outputs from other modules, such as stock event information, and displays such outputs on appropriate GUIs. Function key processing module 47 assigns various operations to function keys (e.g., F1 to F12) on a trader terminal's keyboard. For example, F1 may initiate a buy, F2 may initiate a sell, F3 may initiate a short, F11 may cancel a recent buy order, and F12 may cancel all orders. Information received from function keys is provided to execution manager 54, which then transmits the information to execution servers 27, which perform the



requested function.

Quote view manager 49 generates the quote profiler window 62 shown in Fig. 4. Through window 62, a trader can view information from data feed 19 and execute transactions for displayed stocks. Quote profiler window 62 may be displayed automatically at login or it may be selected from a menu/toolbar of GUIs (not shown).

Quote profiler window 62 includes an entry field 65 for entering a stock identifier, such as MSFT (shown) -- the identifier for Microsoft®. After the stock is entered, trading code 36 displays a button 67 for the stock. Eight (or more) such buttons 69 may be displayed.

Buttons 69 are selectable. A selected button 67 ("MSFT") is highlighted, as shown in Fig. 4. When a button is selected, quote view manager 49 issues a request for information about the stock for that button. Query/receive parser 55 retrieves the requested information from a server on data feed network 11, and quote view manager 49 displays that information on quote profiler window 62.

Among the information that may be displayed are the number of shares 70 traded in a stock, the PCL 71 of the stock, the current time 72, a high price 74 of the stock for

a time period (e.g., one day), a low price 75 of the stock for the time period, inside bid and ask prices 76 for the stock, and information 77 relating to a last trade data in the stock, including the price at which it was last traded and the net change in price since the last trade. Tick indicator arrow 79 indicates a direction (in this case down) that the stock has moved. Depth indicator 73 displays a ratio comprised of a number of buyers of a stock at an inside bid price to a number of sellers of a stock at an inside ask price. For example, the "1 by 1" ratio 73 indicates that there is one buyer at the inside bid price and one seller at the inside ask price.

GUI 62 also includes two areas, one area 80 for displaying bid prices 81 of market makers 82 for the number of shares 83, and one area 84 for displaying ask prices 85 of market makers 86 for the number of shares 88. Numbers of shares 83 for purchase are shown in area 80 and number of shares 88 for sale are shown in area 84. The numbers displayed in 83 and 88 are actually 1/100 of the number of shares available. For example, a displayed number of 10 indicates that 1000 shares are available and a displayed number of 50 indicates that 5000 shares are available. Both

bid prices in area 80 and ask prices in area 84 are displayed from highest to lowest. Scroll bars (not shown) may be provided in each area if the number of market makers exceeds the display area. Different prices are shown in  
5 different colors.

Pull-down box 89 is used to select a stock price for a transaction. When INS ("INSide") is selected, quote view manager 49 obtains the inside price. When MKT ("Market") is selected, a transaction will be at the market price of a  
10 stock. For example, if stock is being sold, quote view manager 49 may obtain the highest price (from area 84) at which a market maker is willing to buy. For buying, quote view manager 49 may obtain the lowest price (from area 80) at which a market maker is willing to sell.

15 Pull-down box 90 selects the quantity of stock for a current transaction. For example, if "1000" is shown in pull-down block 90, the transaction is for 1000 shares.

Market selection button 91 selects the market on which the shares are to be traded. Clicking on button 91 displays  
20 the available markets. A selected market, in this example ARCA (for Archipelago®), is then displayed.

Transaction buttons 92 initiate transactions for the

stock selected by buttons 69 for the number of blocks entered in pull-down box 90. Buy button 92a initiates a buy of the stock, sell button 92b initiates a sell of the stock, and short button 92c initiates a short of the stock.

5 Pending button 92d provides a list of options related to a current transaction. In particular, it provides the trader with options to cancel a pending stock order, to cancel all pending orders, to ask execution servers 27 how many shares have been processed at that point, and to close the options.

10 Returning to Fig. 3, history chart manager 51 generates the history windows shown in Figs. 5 and 6. Through these windows, a trader can view information about the activity of a stock, including its price and volume, over a selected period of time. A history window may be displayed  
15 automatically at login, selected from a menu/toolbar of GUIs (not shown), or programmed to display in response to pressing "Ctrl-H".

History windows 100 and 101 include common features. These common features are described with respect to history  
20 window 100 (Fig. 5). History window 100 includes entry field 102 for entering the identifier of a stock (DELL shown). When the identifier is entered, history chart

manager 51 requests information from history server 15e regarding the performance of that stock (e.g., price and volume) over a particular time period.

The time period may be set via intraday button 104 or  
5 historical button 105. Historical button 105 offers selections of DAILY, WEEKLY, or MONTHLY (not shown). These selections provide the trader with the option to view a stock's performance over one of these time periods. Intraday button 104 (selected/highlighted) provides the  
10 trader with the option to view stock performance over a selected time period in a single day. This time period is selected using buttons 106, where button 106a provides a display of the stock's activity over the previous five minutes, and button 106b provides a display of the stock's  
15 activity over the previous one minute. Button 106c allows the trader to enter a display time period (in minutes) in entry field 107 (here, "10" minutes is shown). Custom check box 109 allows a trader to further customize the display.

The display format of the history information is set by  
20 buttons 110 and 111. Button 110 produces the chart format shown in Fig. 5. In Fig. 5, the price 112 of the stock is plotted against time 114. A volume chart 115 is also

provided, which shows the number of shares traded 116 plotted against time 117 (= time 114). A representation 119 of volume chart 115 may be superimposed on price chart 120 to provide a comparative picture of the stock's activity.

5           Button 110 produces the table format shown in Fig. 6. In Fig. 6, trading volume 121, high price 122, low price 124, opening price 125, and closing price 126 for a stock in 102 are shown in tabular form at specified time periods 129.

          Returning to Fig. 3, trendspotter manager 50 generates  
10 the trendspotter windows shown in Figs. 7 to 9. Through these windows, a trader can view the performance of a specific stock and/or execute stock transactions.

          Fig. 7 shows the main trendspotter window 130. Window 130 may be displayed automatically at login or it may be  
15 selected from a menu/toolbar of GUIs (not shown). Window 130 includes selectable tabs 131 which correspond to categories of one or more stocks. These categories may be set by a trader via list editor dialog box 132 (Fig. 8). This box is displayed via setup button 134 on window 130.

20           List editor dialog box 132 includes entry fields 135 and 136 for entering stock identifiers and categories, respectively. The category names 137 may be assigned by the

trader. In particular, to create a category tab 131 in window 130 (Fig. 7), the trader types the name of the category in entry field 136 and clicks on right arrow 141. This causes both a category tab to be displayed in window  
5 130 and the category name to be displayed in area 140. To remove a category, the trader selects the category and clicks on left arrows 139. This removes the category from area 140 and the corresponding tab from window 130.

Area 142 displays stock identifiers 143 for stocks  
10 included in the categories. These stocks are selected by inputting stock indicators in entry field 135 and clicking on right arrow 145. To remove a stock from area 142 (and thus also from all categories), the trader selects the stock and clicks on left arrows 146. To add a stock from area 142  
15 to a category in area 140, the stock and the category are both selected. Category button 147 causes trendspotter manager 50 to associate the stock with that category.

Stop delta (" $\Delta$ ") feature 150 provides a way to commence trading of a stock automatically. To provide a stop delta  
20 for a stock listed in entry field 131, the trader enters the stop delta value in entry field 151. The stop delta value is a number from one to thirty-two, which specifies the stop

delta price in eighths. Set button 152 causes trendspotter manager 50 to associate the stop delta value with the stock. A stock trade can be (but need not necessarily be) executed once the price of the stock reaches the stop delta value.

5           Close button 155 returns to window 130 of Fig. 7. As shown in Fig. 7, a category tab 131a displays information about stocks in that category in area 156. This information, which is provided by one or more of servers 15, includes the last price 157 of the stock, the trade volume  
10           159 of the stock for a day, and stock identifiers 160.

          Indicator information 161 is also displayed in association with the foregoing information. Indicator information 161 relates to events that occurred for the stocks listed in area 156. These events include, but are  
15           not limited to, the stock hitting a PCL, the stock passing (or "breaking through") the PCL (in either an upward or downward direction), the stock hitting a high or low price for the day, and the stock "bouncing off" the high or low price. Bouncing off means that the stock hit its high or  
20           low price for the day and retreated therefrom (either in an upward or downward direction).

          Indicator information 161 is determined by trendspotter



manager 50 from the portion of data feed 19 that it receives from query/receive parser 55. Alternatively, indicator information 161 may be determined by one of servers 15, and then provided to trendspotter manager 50 in response to a request received therefrom.

Fig. 10 shows a process 128, which is executed by trendspotter manager 50, for obtaining the event-related information displayed in the windows shown in Figs. 4 to 9. To begin, process 128 receives (1101) information about a stock from one of servers 15, such as quote server 15a. This information may include, for example, the price at which the stock is currently trading.

Process 128 compares (1102) the received price to a previous high price. This previous high price is obtained from a memory, such as database server 26. If the price is greater than the high price of that stock for the day (1103), process 128 sets (1104) the price as the new high in the memory and outputs (1105) the new high price on a window. Process 128 will be described with respect to trendspotter windows, though the information determined therein may be displayed on other windows as well. Otherwise, process 128 proceed to 1106. If the price is

equal to the high price of that stock for the day (1106), process 128 sets (1107) the price as the high in the memory and outputs (1108) an indication on a trendspotter window that the stock has reached its high price. Otherwise  
5 process 128 proceeds to 1109. If the price is less than the high price of that stock for the day (1109) and the previous trade in that stock was at the stock's high (1110), process 128 sets (1111) an indication in the memory that the stock has bounced off its high and outputs (1112) that indication  
10 on a trendspotter window.

If the price is less than the low price of that stock for the day (1113), process 128 sets (1114) the price as the new low in the memory and outputs (1115) the new low price on a trendspotter window. Otherwise, process 128 proceeds  
15 to 1116. If the price is equal to the low price of that stock for the day (1116), process 128 sets (1117) the price as the low in the memory and outputs (1118) an indication on a trendspotter window that the stock has reached its low price. Otherwise, process 128 proceeds to 1119. If the  
20 price is greater than the low price of that stock for the day (1119) and the previous trade in that stock was at the stock's low (1120), process 128 sets (1121) an indication in

the memory that the stock has bounced off its low and  
outputs (1122) that indication on a trendspotter window.  
Otherwise, process 128 proceeds to 1123.

5 If the price is greater than the PCL (1123), and the  
previous trade in that stock was not at a price that is less  
than or equal to the PCL (1124), process 128 proceeds to  
1125. In 1125, process 128 determines if the price of the  
previous trade equals the PCL. If so, then process 128 sets  
10 (1126) an indication in the memory that the stock has  
bounced off the PCL and outputs (1127) that indication on a  
trendspotter window. If the price of the previous trade  
does not equal the PCL in 1125, process 128 sets (1128) an  
indication in the memory that the stock has crossed the PCL  
and outputs (1129) that indication on a trendspotter window.  
15 Returning to 1124, if the price of the current trade is not  
greater than the PCL and the price of the previous trade is  
greater than or equal to the PCL, process 128 proceeds to  
1130.

20 In 1130, process 128 determines if the price of the  
current trade equals the PCL. If so, process 128 sets  
(1131) an indication in the memory that the stock is at the  
PCL and outputs (1132) that indication on a trendspotter

window. Otherwise, process 128 proceeds to 1133. In 1133, process 128 determines if the price of the current trade is less than the PCL. If so, process 128 proceeds to 1134, where it determines if the price of the previous trade in the stock is greater than or equal to the PCL. If not, process 128 ends. If so, process 128 proceeds to 1135 where it determines if the price of the previous trade in the stock equals the PCL. If the price of the previous trade equals the PCL, process 128 proceeds to 1136. There, process 128 sets an indication in the memory that the stock bounced off the PCL and then outputs (1139) that indication on a trendspotter window. If the price of the previous trade does not equal the PCL in 1135, process 128 proceeds to 1138. There, process 128 sets an indication in the memory that the stock crossed the PCL and then outputs (1139) that indication on a trendspotter window.

Returning to Fig. 7, in area 156, the event-related information is displayed in color. This makes it easier for traders to differentiate among events. A message indicating that a stock reached its high or low is displayed in red; a message indicating that a stock passed its PCL is displayed in green; and a message indicating that the stock bounced

off its high or low is displayed in yellow.

A stock listed in area 156 may be selected to display information relating to that stock in area 166 of window 130. This information includes a stock identifier 170, a PCL 171, high and low prices 172 for the day, trading volume 5 173, inside bid and ask prices 174, and information 175 pertaining to the last trade in that stock. Information 175 may include the purchase price 176 of the stock and the amount 177 by which the stock has changed since a last 10 trade.

Transact button 180 displays trend analysis window 181 (Fig. 9) for a selected stock in area 166. Trend analysis window 181 includes entry field 182 for entering a number of blocks of stock, price field 184 for entering a price (by 15 market maker) of the stock, buy button 185 for purchasing the blocks of stock for the price, sell button 186 for selling the blocks of stock for the price, and short button 187 for shorting the blocks of stock for the price.

Trend analysis window 181 also displays inside 20 information 189, last trade information 190, and day range information 191. Day range information 191 includes a high price 191a of stock 192, its low price 191b, and its PCL

191c. Last trade information 190 includes a price 190a at which stock 192 was last traded, the trade volume 190b of stock 192 (per day), and the amount (net) 190c that the stock has changed in price since the last trade. Inside  
5 information 189 includes inside bid and ask prices 189a and 189b, respectively. Close button 194 closes trend analysis window 181, and returns the trader to the main trendspotting window 140.

Referring to Fig. 11, an index indicator window 200 is  
10 shown. Index indicator window 200 is generated and displayed by quote view manager 49 (or other module(s)) within trading code 36 using data obtained from data feed network 12.

Index indicator window 200 includes three areas 201,  
15 202 and 204 for displaying current market indices. In this embodiment, area 201 shows the Dow Jones® Industrial Average, area 202 shows the NASDAQ® Composite, and area 204 shows the NASDAQ® 100 Composite. Associated with each of areas 201, 202 and 204 are respective display areas 205, 206  
20 and 207. Area 205 shows the change in the Dow Jones® Industrial Average over a predetermined intraday time period. Area 206 shows the change in the NASDAQ® Composite

over a predetermined intraday time period. Area 207 shows the change in the NASDAQ® 100 Composite over a predetermined intraday time period. In this context, an "intraday" time period refers to any time period within a 24 hour time span.

5           The intraday time periods associated with areas 205, 206 and 207 may have the same, or different, durations. The indices shown in Fig. 11 are dynamic; accordingly, index indicator window 200 shows updates in the displayed indices on a "tick-by-tick" basis. The indices shown in index  
10 indicator window 200 are merely representative of indices that may be displayed by the invention. Different indices may be displayed. Also, more or fewer indices than those shown may be displayed.

          Referring to Fig. 12, a stock ticker window 210 is  
15 shown. Stock ticker window 210 is generated and displayed by quote view manager 49 (or other module(s)) within trading code 36 using data obtained from data feed network 12.

          Stock ticker window 210 displays stock symbols 211, which cascade (i.e., move/scroll) horizontally in this  
20 embodiment, but which may also cascade vertically. An option (not shown) is provided to set the cascade direction. Displayed adjacent to each stock symbol 211 is a value/price

212 at which the stock represented stock symbol 211 was last traded. The value/price 212 may be color coded to indicate whether the value at which the stock was last traded is higher or lower than a previous trade value. For example, red may indicate that the last trade value was lower than that of an immediately preceding trade value and green may indicate that the last trade value was higher than that of the immediately preceding trade value. Each trade that takes place in a stock is displayed in stock ticker window 210. The information displayed in stock ticker window 210 is updated after each trade takes place. Stock ticker window also displays a net change 214 in each stock's value since the previous close, where "net change" means the difference between the current trade value and a previous closing value of the stock.

Stock ticker window 210 is not limited to displaying information about stocks. Stock ticker window 210 may display information about any security that is traded. Other information may also be included on stock ticker window. For example, real-time trade information (not shown) for a stock, such as the shared volume of each trade, may be displayed by stock ticker window 210.



Referring to Fig. 13, a time and sales window 215 is shown. Time and sales window 215 is generated and displayed by quote view manager 49 (or other module(s)) in trading code 36 using data obtained from data feed network 12.

5 Time and sales window 215 displays the real-time, last trade activity of a security. Information in time and sales window 215 cascades from top 216 to bottom 217, with the most recent trade activity information in the security being displayed at the top 216 of window 215. The information  
10 displayed includes the symbol/identifier 219 of the security, the time 220 of the last trade in security, trade status data 221 identifying whether the last trade was a sale or a change in inside bid or ask prices, the price 222 of the last trade, and the volume 224 of the last trade.  
15 All or some of the information displayed in time and sales window 215 may be color-coded (e.g., red/green as above) to indicate whether the last trade in the security was greater than, or less than, an immediately preceding the last trade.

The information displayed in time and sales window 215  
20 is not limited to that described above. Other information relating to the last trade of a security may be displayed. Additionally, color-coding or other schemes may be used to

further differentiate the information.

Referring to Fig. 14, a position manager window 225 is shown. Position manager window 225 is generated and displayed by quote view manager 49 (or other module(s)) in trading code 36 using data from data feed network 12.

Position manager window 225 shows all open trader positions. This means that all stock transactions that are executed by traders 31 are shown in position manager window 225. The information displayed in position manager window 225 includes a stock identifier (ID) column 226, a shares column 229, a price column 230, a current column 231, and a net change column 227. The stock ID column 226 displays the security symbol of a stock being traded. The shares column 229 shows the number of shares of the security that were involved in a transaction. The price column 230 shows the price at which the transaction was executed. The current column 231 shows the current price of the stock. The net change column 227 shows the difference in price (in, e.g., US dollars) between the price 230 and current 227 columns for the number of shares traded 229. The numbers in stock ID column 226 may be displayed in different colors (e.g., red, green) to indicate if the stock was sold short or long.

Other information may also be displayed in position manager window 225. For example, information such as a broker/firm, time of transaction, and a transaction identifier may be displayed in position manager window 225.

5 Similarly, information may be removed from this window.

Referring to Fig. 15, a trader P&L (Profit & Loss) window 232 is shown. Trader P&L window 232 is generated and displayed by quote view manager 49 (or other module(s)) in trading code 36 using data from data feed network 12.

10 Trader P&L window 232 shows all executed trades in a predefined securities portfolio during a pre-specified intraday time frame. "Portfolio", in this case, refers to a set of securities having a common ownership.

15 Trader P&L window 232 includes a stock ID column 234, an action column 235, a shares column 236, a price column 237, a share total column 239, and a balance column 240. As above, the stock ID column 234 displays the security symbol of a stock being traded. The action column 235 indicates whether the corresponding security shown in stock ID column  
20 234 was bought, sold, or sold short. The shares column 236 shows the number of shares of the security that were involved in a transaction. The price column 237 shows the

price at which the transaction was executed. The share total column 239 shows the value (in, e.g. U.S. dollars) of the currently-executed transaction. The balance column 240 shows the value of the trading equity in the current trading account. All or part of this information need not be displayed. Likewise, additional information may be added to trader P&L window 232.

The system described herein is not limited to use with the hardware/software/GUI configurations of Figs. 1 to 15; it may find applicability in any computing or processing environment. The system may be implemented in hardware, software, or a combination of the two (e.g., using an ASIC (application-specific integrated circuit) or programmable logic). The system may be implemented in one or more computer programs executing on programmable computers that each includes a processor, a storage medium readable by the processor (including volatile and non-volatile memory and/or storage elements), at least one input device, and one or more output devices. Program code may be applied to data entered to generate output information.

Each such program may be implemented in a high level procedural or object-oriented programming language to

communicate with a computer system. However, the programs can be implemented in assembly or machine language. The language may be a compiled or an interpreted language.

Each computer program may be stored on a storage medium  
5 or device (e.g., CD-ROM, hard disk, or magnetic diskette)  
that is readable by a general or special purpose  
programmable computer for configuring and operating the  
computer when the storage medium or device is read by the  
computer to perform implement the system. The system may  
10 also be implemented, at least in part, as a computer-  
readable storage medium, configured with a computer program,  
where, upon execution, instructions in the computer program  
cause a computer to operate appropriately.

The invention is not limited to the hardware, software,  
15 and/or GUI configurations set forth herein. For example,  
the invention is not limited to the numbers and types of  
servers on data feed network 11 or on trader network 12.  
The invention is also not limited to the software  
architecture shown in Fig. 3, or to the specific windows  
20 (GUIs) generated thereby. Similarly, the invention is not  
limited to operation with the specific services described  
herein, such as Island®, or to use with stocks.

Other embodiments are also within the scope of the following claims.

What is claimed is:

1. A graphical user interface (GUI) comprising:  
index display areas, each of the index display areas  
for displaying a different security index; and  
change display areas, each of the change display areas  
5 being associated with a corresponding index display area,  
each of the change display areas displaying a change in a  
corresponding security index over a predetermined time  
period.

10 2. The GUI of claim 1, wherein the index display areas  
include areas for displaying the Dow Jones® Industrial  
Average, the NASDAQ® Composite, the NASDAQ® 100 Composite.

15 3. The GUI of claim 1, wherein the predetermined time  
period is an intraday time period.

20 4. A computer program, stored on a computer-readable  
medium, the computer program comprising executable  
instructions that cause a computer to generate the GUI of  
claim 1.

5. A graphical user interface (GUI) which displays information about a security, the information comprising:  
an identifier that corresponds to the security;  
a value of a last trade in the security; and  
5 a difference between the value and a previous closing value of the security.

6. The GUI of claim 5, wherein the value of the last trade is color-coded to indicate whether the value of the  
10 last trade is higher than, or lower than, the previous closing value of the security.

7. The GUI of claim 5, wherein the information cascades during display.

15

8. The GUI of claim 5, wherein the information is updated after a trade in the security.

9. A computer program, stored on a computer-readable  
20 medium, the computer program comprising executable instructions that cause a computer to generate the GUI of claim 5.



10. A graphical user interface (GUI) which displays information relating to trading activity in a security, the information comprising:

- 5           an identifier that corresponds to the security;  
          a time of a last trade in the security;  
          an identity of the last trade;  
          a price of the security in the last trade; and  
          a volume of the security in the last trade.

10

11. The GUI of claim 10, wherein the identity of the last trade comprises one of a sale or change in inside bid or ask prices of the security.

15

12. The GUI of claim 10, wherein at least some of the information displayed in the GUI is color-coded to indicate if the price of the last trade is greater than or equal to a price of the security in a trade that preceded the last trade.

20

13. The GUI of claim 10, wherein the information cascades during display.

14. A computer program, stored on a computer-readable medium, the computer program comprising executable instructions that cause a computer to generate the GUI of  
5 claim 10.

15. A graphical user interface (GUI) which displays information that relates to a transaction in a security, the information comprising:

10 an identifier that corresponds to the security;  
the transaction performed with respect to the security;  
a number of shares of the security involved in the transaction; and  
a price of the security in the transaction.

15

16. The GUI of claim 15, wherein the information further comprises an open position with respect to the security.

20

17. The GUI of claim 15, wherein the transaction comprises one of buying the security, selling the security, or selling the security short.

18. A computer program, stored on a computer-readable medium, the computer program comprising executable instructions that cause a computer to generate the GUI of  
5 claim 15.

19. A graphical user interface (GUI) which displays information relating to transactions in a securities portfolio, the information comprising:

10 an identifier that corresponds to the security;  
the transaction performed with respect to the security;  
a number of shares of the security in the transaction;  
a price of the security in the transaction;  
a total value of the transaction; and  
15 a balance in a trading account that corresponds to the portfolio.

20. The GUI of claim 19, wherein the transaction comprises one of buying the security, selling the security,  
20 or selling the security short.

21. The GUI of claim 19, wherein the information is displayed for a predetermined time period.

22. The GUI of claim 21, wherein the predetermined  
5 time period is an intraday time period.

23. A computer program, stored on a computer-readable medium, the computer program comprising executable instructions that cause a computer to generate the GUI of  
10 claim 19.

24. A graphical user interface (GUI) for displaying information relating to securities, comprising:

selectable tabs that correspond to categories of  
15 securities; and

an area which displays information relating to events that occur for securities that correspond to a selected tab.

25. The GUI of claim 24, wherein the categories of  
20 securities are organized by a user.

26. The GUI of claim 24, wherein the events comprise one or more of the following:

the security hits a previous closing price;

the security passes the previous closing price;

5 the security hits a high or low price for a specified time period; and

the security bounces off the high or low price.

27. The GUI of claim 24, wherein the information is  
10 color coded.

28. The GUI of claim 24, wherein, for a security, the information is displayed in association with one or more of the following:

15 a price of the security;

a trade volume of the security; and

an identifier for the security.

29. The GUI of claim 24, further comprising a transaction button which controls display of a second GUI for transacting in a security displayed on the first GUI, the second GUI comprising:

5 a field for entering a block of shares of the security;  
and  
selectable buttons for initiating transactions for the block of shares entered in the field.

10 30. The GUI of claim 29, wherein the second GUI displays one or more of the following for the security:

a previous closing price;  
a high price for a period of time;  
a low price for a period of time;  
15 inside bid and ask prices; and  
information pertaining to a last trade in the security.

31. A computer program, stored on a computer-readable medium, which generates the GUI of claim 24.

20

32. An apparatus comprising:  
a memory which stores a computer program; and  
a processor which executes the computer program to  
generate the GUI of claim 24.

5

33. A method comprising the steps of:  
receiving data related to securities;  
analyzing the data to detect events relating to the  
securities; and

10

providing information relating to the events for  
display.

15

34. The method of claim 33, wherein analyzing  
comprises determining if a security has passed a previous  
closing price.

20

35. The method of claim 33, wherein analyzing  
comprises determining if a security is at a previous closing  
price.

36. The method of claim 33, wherein analyzing comprises determining if a security is at a high or low price for a specified time period.

5 37. The method of claim 33, wherein analyzing comprises determining if a security bounced off a high or low price.

10 38. A computer program stored on a computer-readable medium, the computer program comprising instructions that cause a computer to:

receive data related to securities;

analyze the data to detect events relating to the securities; and

15 provide information relating to the events for display.

39. The computer program of claim 38, wherein analyzing comprises determining if a security has passed a previous closing price.

20



40. The computer program of claim 38, wherein analyzing comprises determining if a security is at a previous closing price.

5 41. The computer program of claim 38, wherein analyzing comprises determining if a security is at a high or low price for a specified time period.

10 42. The computer program of claim 38, wherein analyzing comprises determining if a security bounced off a high or low price.

43. An apparatus comprising:  
a memory which stores computer instructions; and  
15 a processor which executes the computer instructions  
(i) to receive data related to securities, (ii) to analyze the data to detect events relating to the securities, and  
(iii) to provide information relating to the events for display.

20

44. The apparatus of claim 43, wherein analyzing comprises determining if a security has passed a previous closing price.

5 45. The apparatus of claim 43, wherein analyzing comprises determining if a security is at a previous closing price.

10 46. The apparatus of claim 43, wherein analyzing comprises determining if a security is at a high or low price for a specified time period.

15 47. The apparatus of claim 43, wherein analyzing comprises determining if a security bounced off a high or low price.

48. A graphical user interface (GUI) for transacting in securities, comprising:

selectable buttons that correspond to securities;

a first area which displays selling information for a security that corresponds to a selected button; and

a second area which displays buying information for the security.

49. The GUI of claim 48, wherein the selling information comprises bid prices of market makers.

50. The GUI of claim 49, wherein the bid prices are arranged from highest to lowest.

51. The GUI of claim 48, wherein the selling information comprises market maker bid prices for a displayed number of shares of stock.

52. The GUI of claim 48, wherein the buying information comprises ask prices of market makers.

53. The GUI of claim 51, wherein the ask prices are arranged from highest to lowest.

54. The GUI of claim 48, wherein the buying  
5 information comprises market maker ask prices for a  
displayed number of shares of stock.

55. The GUI of claim 48, which also displays one or  
more of the following information for the security:

10 a number of shares traded;  
a previous closing price;  
a high price for a period of time;  
a low price for a period of time;  
inside bid and ask prices; and  
15 a depth indicator which displays a ratio comprised of a  
number of buyers of a stock at an inside bid price to a  
number of sellers of a stock at an inside ask price.

56. The GUI of claim 48, further comprising:  
a field for entering a block of shares of the security;  
and

5 selectable buttons for initiating transactions for the  
block of shares entered in the field.

57. A computer program, stored on a computer-readable  
medium, which generates the GUI of claim 48.

10 58. An apparatus comprising:  
a memory which stores a computer program; and  
a processor which executes the computer program to  
generate the GUI of claim 48.

15 59. The apparatus of claim 58, wherein:  
the GUI includes transaction buttons for initiating  
transactions relating to securities that correspond to the  
selectable buttons; and  
the apparatus further comprises a network interface  
20 over which data is transmitted for a transaction initiated  
via a transaction button.

60. A graphical user interface (GUI) which displays information relating to securities, comprising:

an entry field for entering a security;

buttons for selecting time periods; and

5 an area for displaying prices of the security in the entry field over a time period selected by a button.

61. The GUI of claim 60, further comprising buttons for selecting a display format of the prices.

10

62. The GUI of claim 61, wherein the buttons comprise a button for displaying the prices in chart form and a button for displaying the prices in list form.

15

63. The GUI of claim 60, further comprising an area which displays a trading volume of the security in the entry field over the time period selected by a button.

20

64. A computer program, stored on a computer-readable medium, which generates the GUI of claim 60.

65. An apparatus comprising:  
a memory which stores a computer program; and  
a processor which executes the computer program to  
generate the GUI of claim 60.

5

66. A securities trading program, stored on a  
computer-readable medium, which generates multiple windows  
containing securities information, the program comprising  
instructions that cause a computer to:

10

generate a first window which displays a price of a  
selected security over a time period;

generate a second window which displays information  
relating to performance of selected securities; and

15

generate a third window for transacting in securities,  
the third window including buying and selling information  
for selected securities.

67. The securities trading program of claim 66,  
wherein the first window comprises:

an entry field for entering a security;

buttons for selecting time periods; and

5 an area for displaying prices of the security in the  
entry field over a time period selected by a button.

68. The securities trading program of claim 66,  
wherein the second window comprises:

10 selectable tabs that correspond to categories of  
securities; and

an area which displays the information relating to  
performance of the securities that correspond to a selected  
tab.

15

69. The securities trading program of claim 66,  
wherein the third window comprises:

selectable buttons that correspond to securities;

20 a first area which displays selling information for a  
security that corresponds to a selected button; and

a second area which displays buying information for the  
security.



FIG. 1
FIG. 1a FIG. 1b

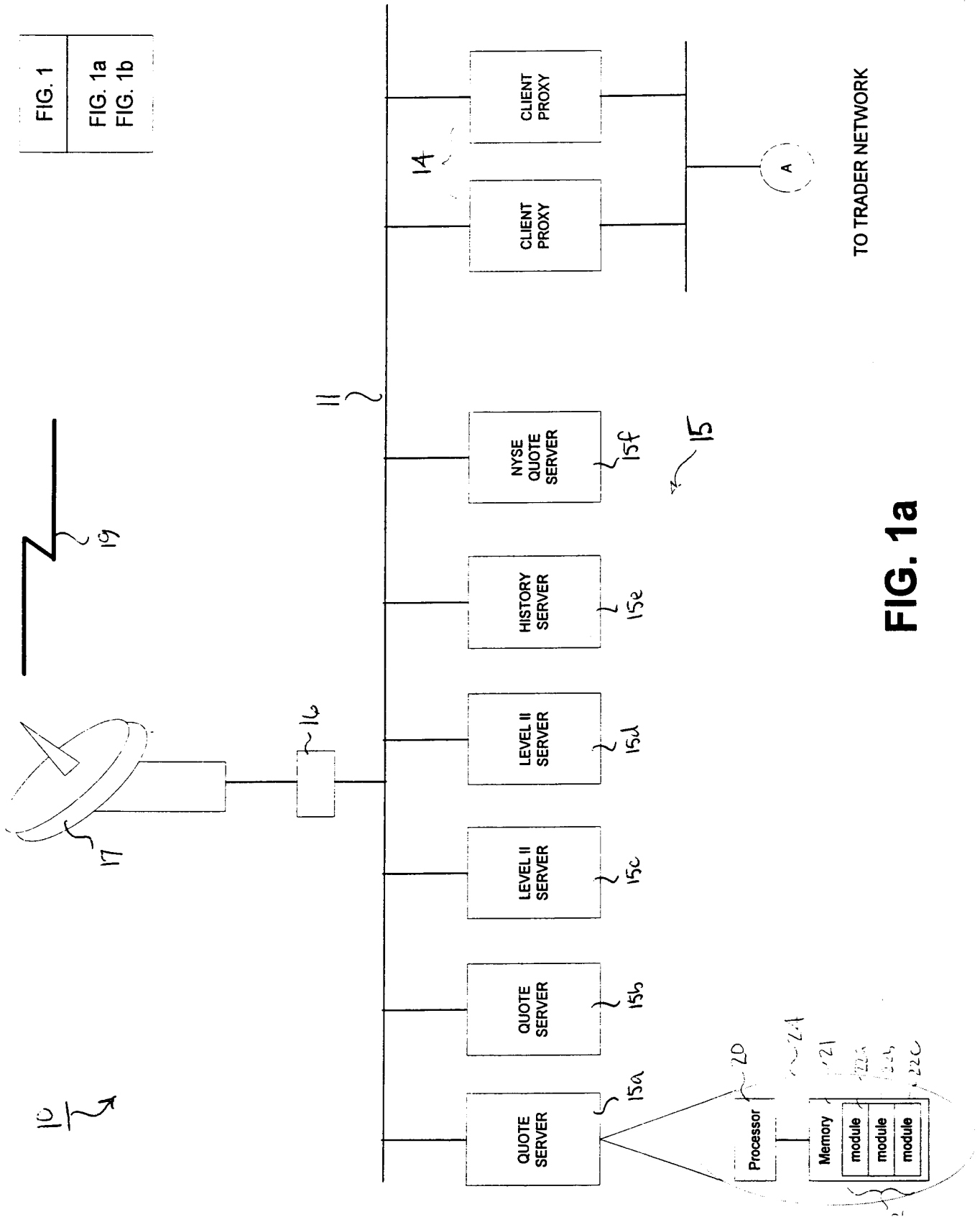


FIG. 1a

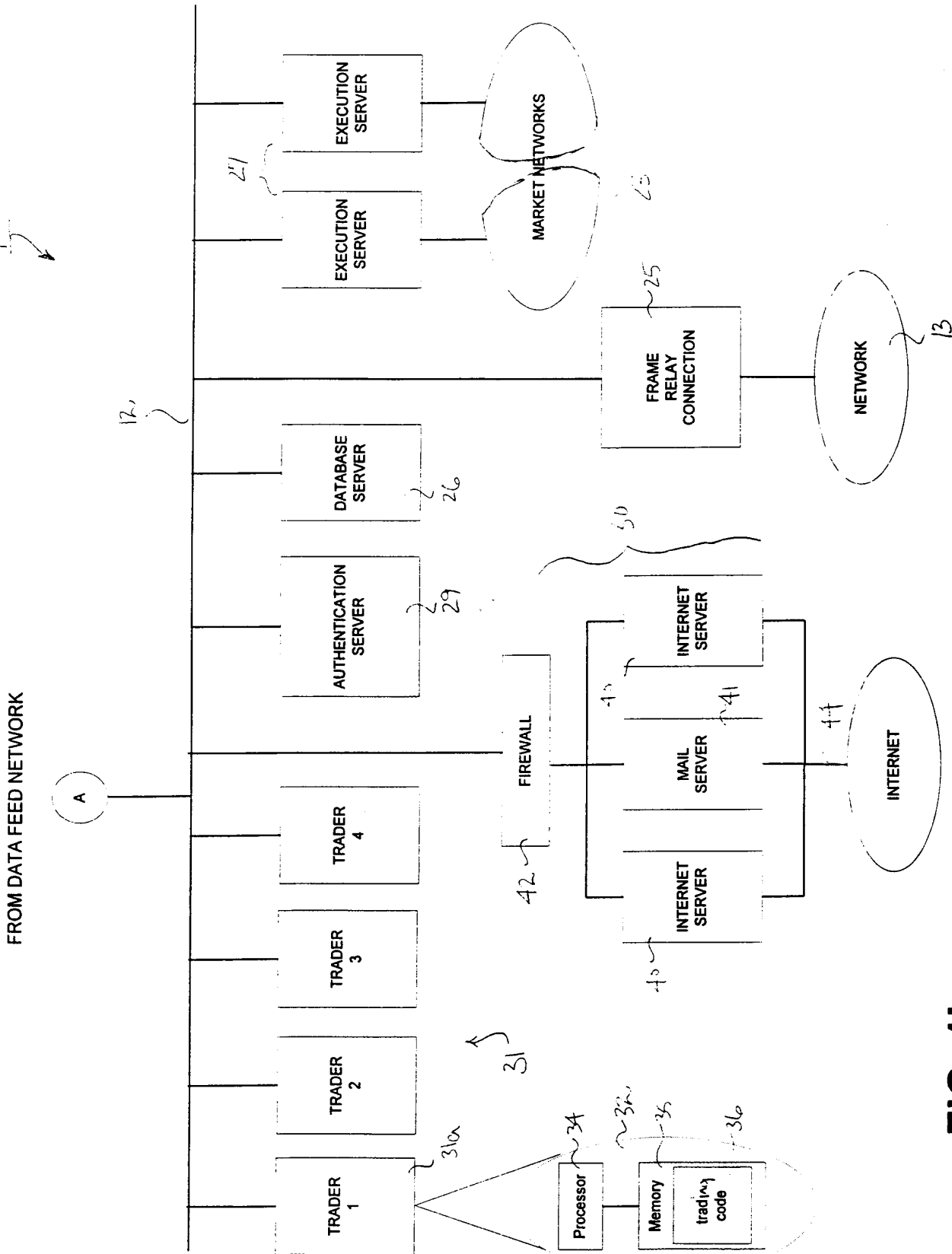


FIG. 1b

37  
↓

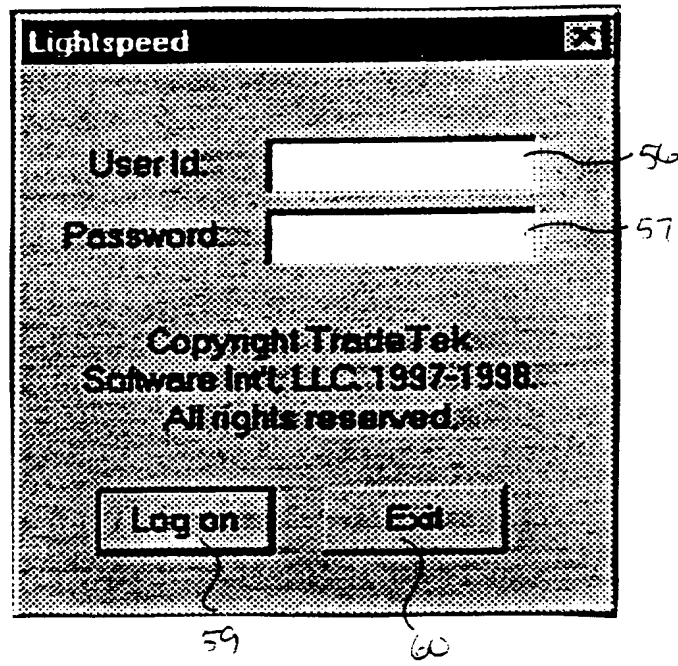


FIG. 2

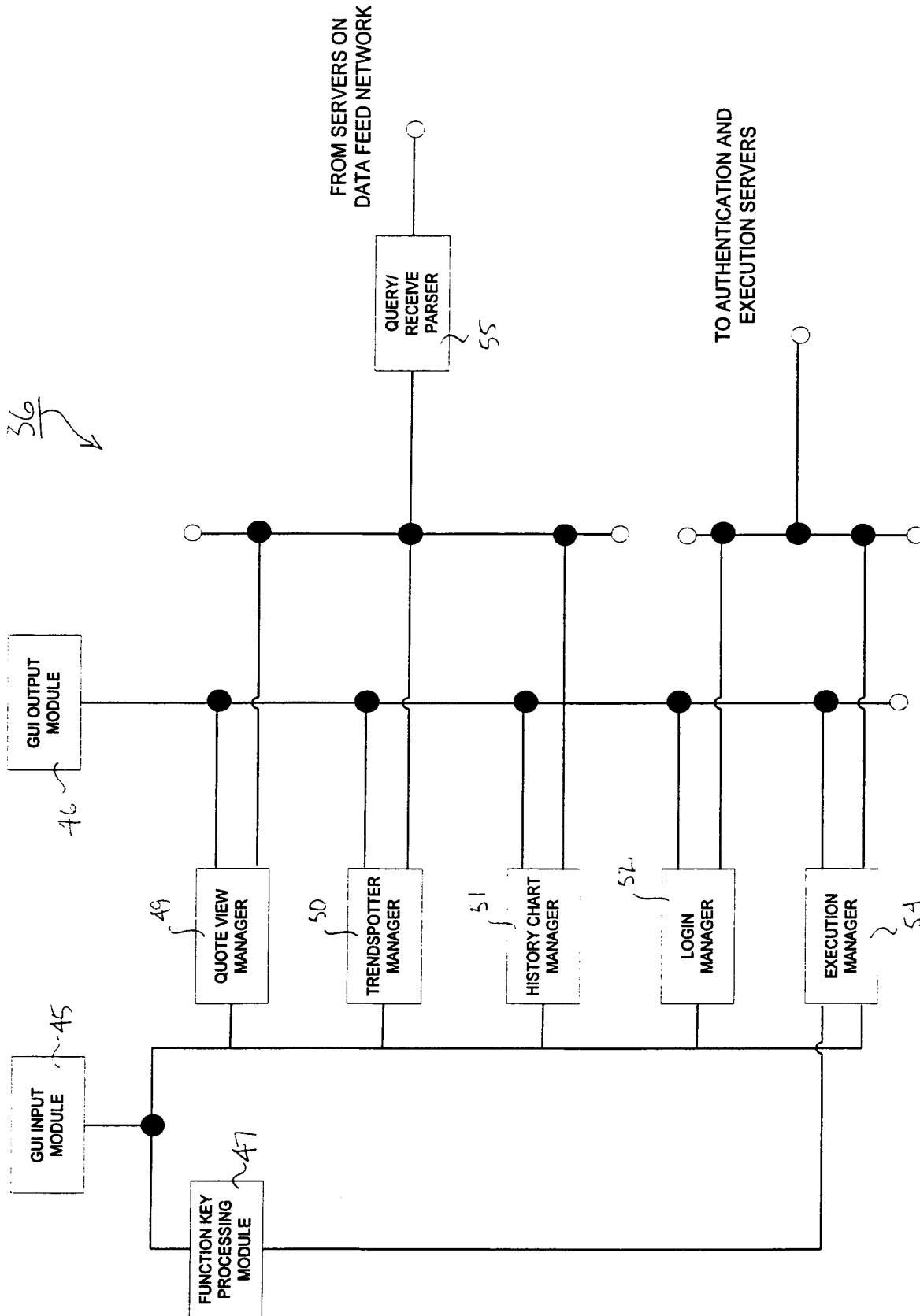


FIG. 3



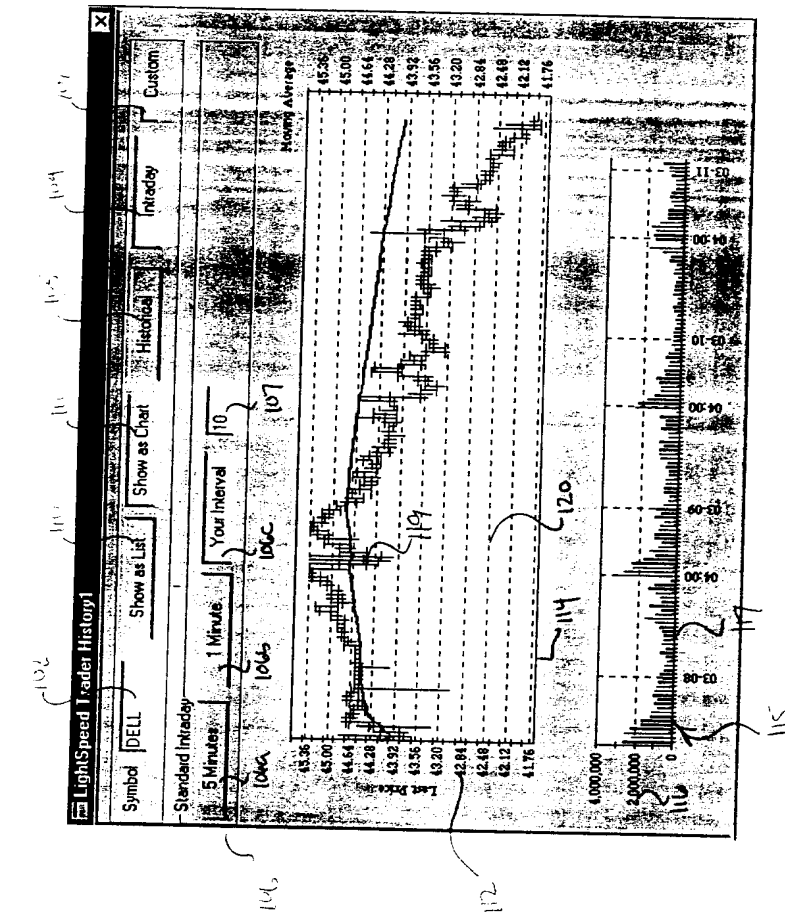


FIG. 5

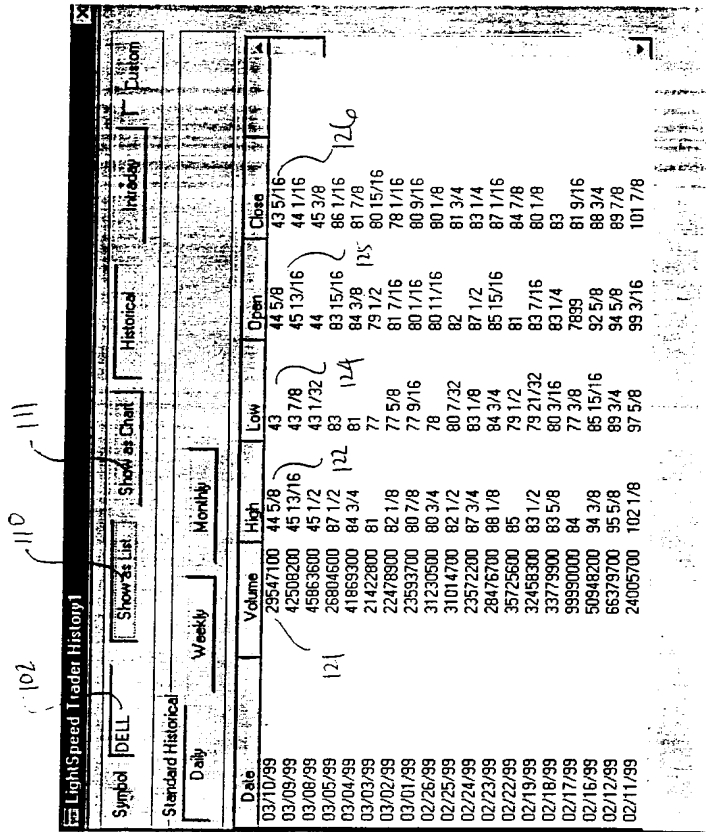


FIG. 6

130  
✓

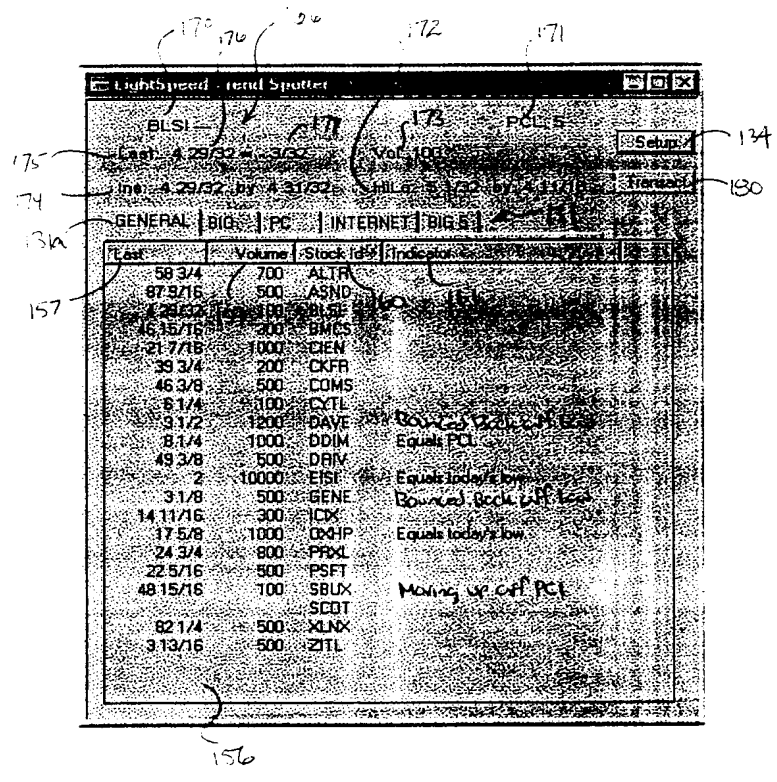


FIG. 7



132  
↘

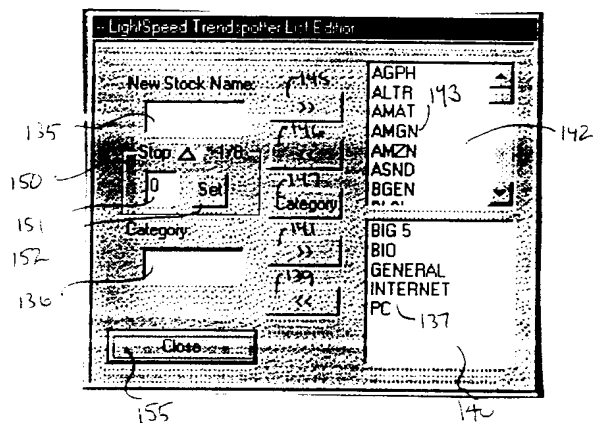


FIG. 8

181  
↘

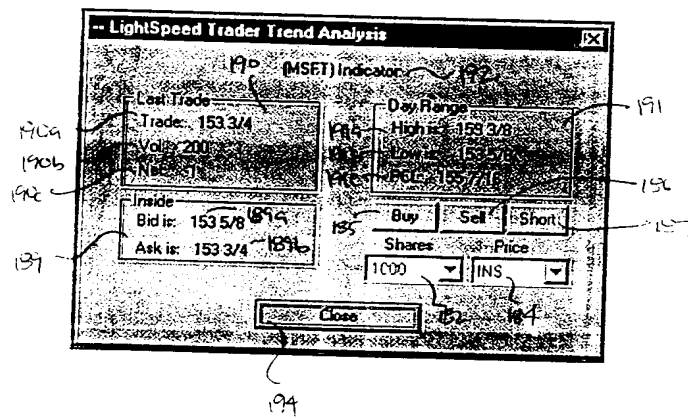


FIG. 9

Fig. 10  
Fig. 10a  
Fig. 10b  
Fig. 10c  
Fig. 10d

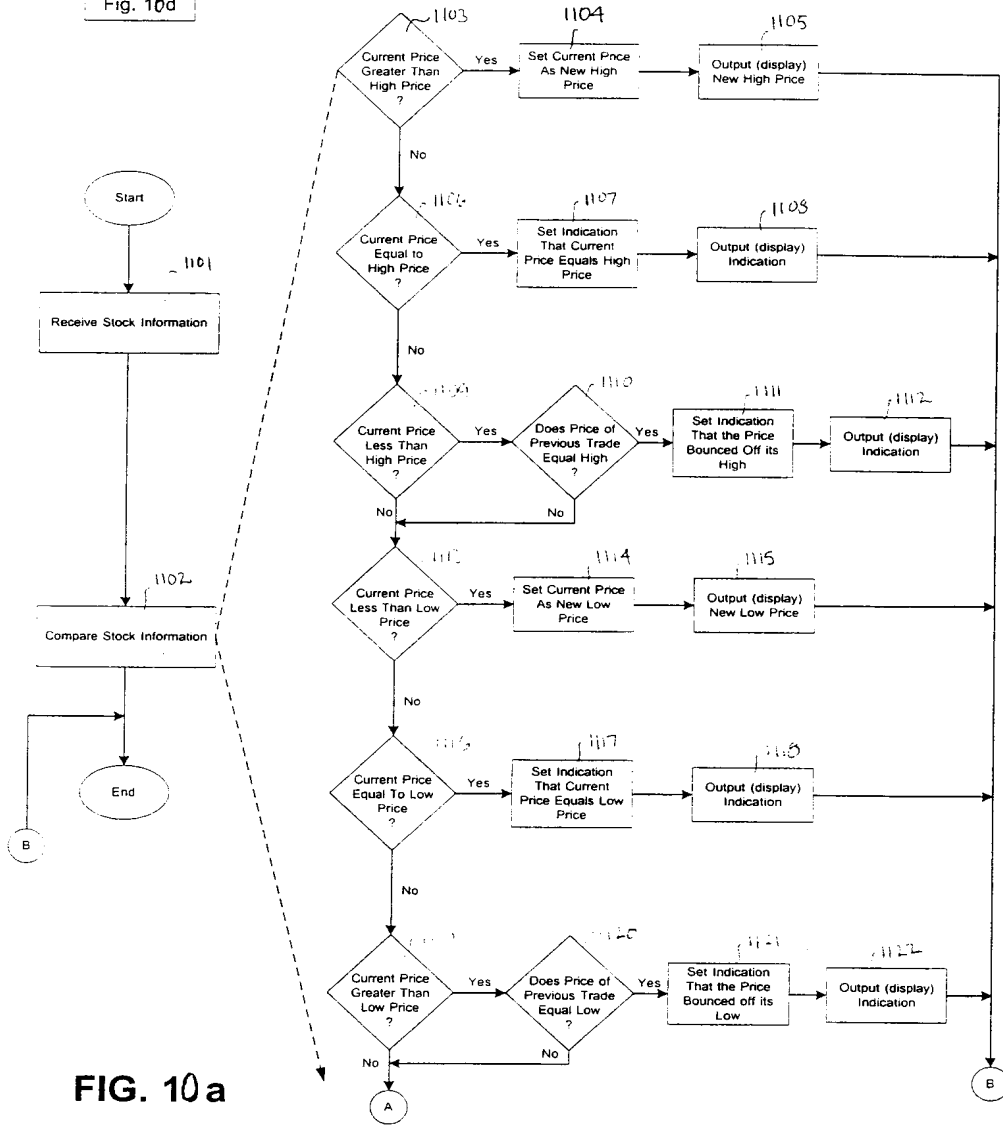


FIG. 10a

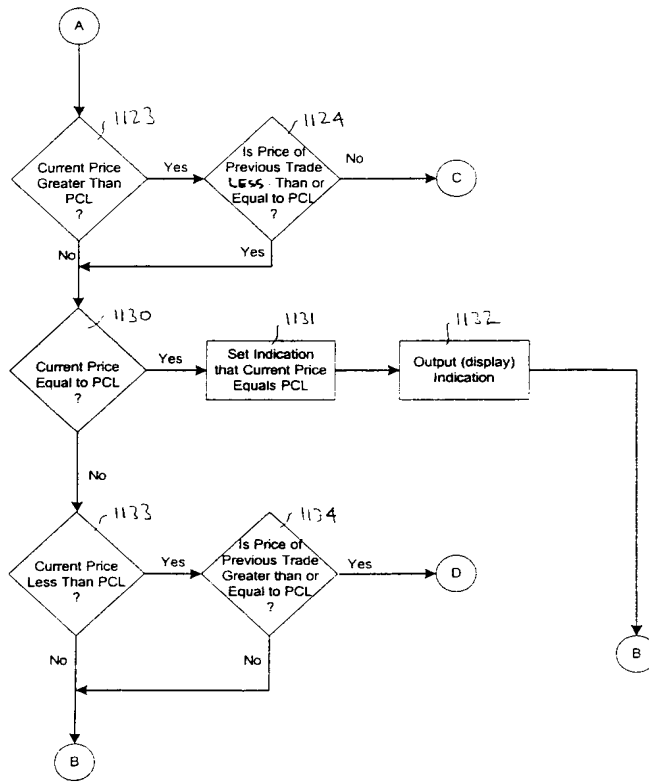


FIG. 10b

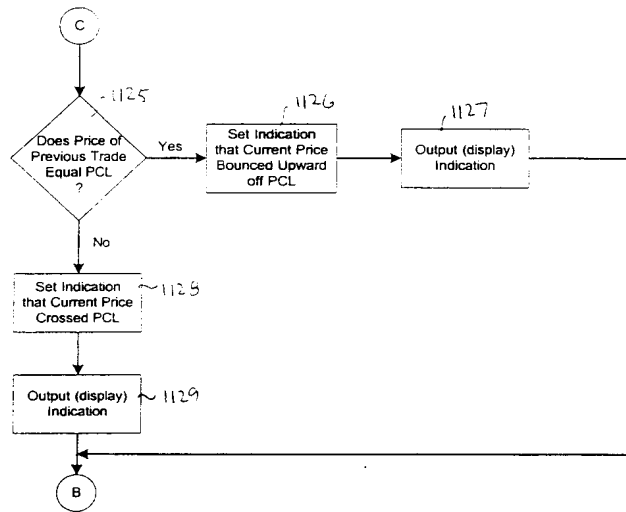


FIG. 10 c

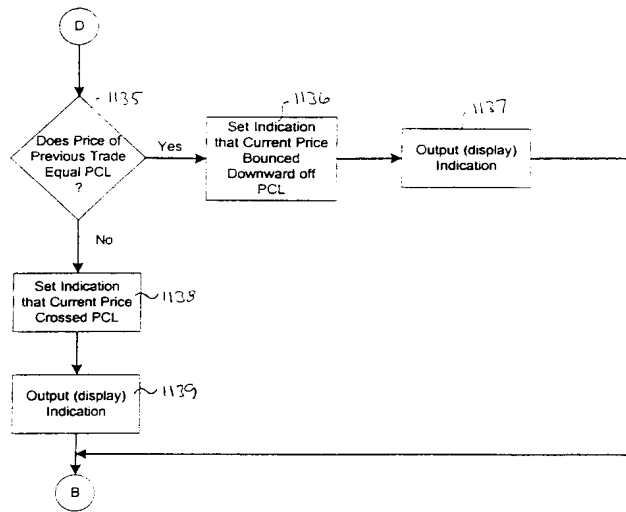


FIG. 10 d



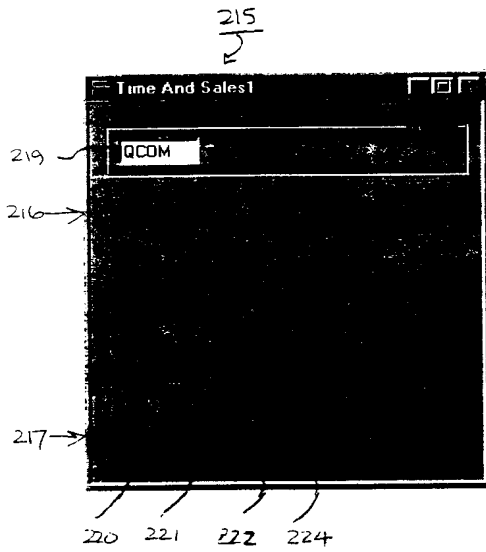


FIG. 13

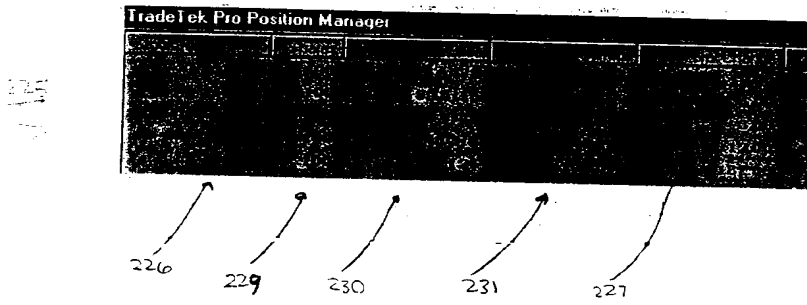


FIG. 14

232

Symbol	Action	Shares	Price	Share Total	Balance
AMAT	BOT	1000	84 5/8	84,625.00	4,915.375
AMAT	SLD	200	84 13/16	16,962.50	4,932.338
AMAT	SLD	100	84 13/16	8,481.25	4,940.819
AMAT	SLD	100	84 13/16	8,481.25	4,949.300
AMAT	SLD	400	84 27/32	33,937.50	4,903.238
AMAT	SLD	200	84 13/16	16,962.50	5,000.200
AMAT	BOT	100	84 13/16	8,481.25	4,991.719
AMAT	BOT	100	84 13/16	8,481.25	4,903.238
AMAT	BOT	100	84 13/16	8,481.25	4,974.756

237 239 240

235 236 237 238 239 240

FIG. 15



INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US00/28197

**A. CLASSIFICATION OF SUBJECT MATTER**

IPC(7) :G06F 17/60  
US CL :705/37

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 705/1, 35-37

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 6,014,643 A (MINTON) 11 JANUARY 2000, SEE ENTIRE DOCUMENT.	1-69
A	US 6,012,046 A (LUPIEN ET AL), 04 JANUARY 2000, SEE ENTIRE DOCUMENT.	1-69

Further documents are listed in the continuation of Box C.  See patent family annex.

* Special categories of cited documents:	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A* document defining the general state of the art which is not considered to be of particular relevance	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*E* earlier document published on or after the international filing date	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	* & * document member of the same patent family
*O* document referring to an oral disclosure, use, exhibition or other means	
*P* document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

20 JANUARY 2001

Date of mailing of the international search report

23 MAR 2001

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Authorized officer

FRANTZY POINVIL

Facsimile No. (703) 305-3230

Telephone No. (703) 305-9779

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 02-211-Z6)

Appl. No. : 11/417,547 Confirmation No. 8101  
Applicant : Jens-Uwe Schluetter et al.  
Filed : 05/03/2006  
TC/A.U. : 3693  
Examiner : Richard C. Weisberger

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO 37 CFR 1.105 REQUEST FOR INFORMATION**  
**MAILED OCTOBER 18, 2007**

Dear Examiner,

In response to 37 CFR 1.105 Request for Information mailed October 18, 2007, Applicant will gladly provide a demonstration of the claimed invention, or any other information, at a time convenient for the Examiner or upon request.

However, in view of the Amendments to the claims presented within the Response to the Final Office Action mailed October 18, 2007 that accompanies this Response, Applicant believes that the Rule 105 request for a demonstration may be moot. If after a review of the pending claims the Examiner would find such a demonstration helpful in examining the newly presented claims, Applicant would provide the demonstration upon request.

The Examiner is courteously invited to contact Mark Triplett at (312) 476-1151 or the undersigned attorney for any additional information.

Respectfully submitted,

Date: February 26, 2008

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Reg. No. 50,469

Under the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) FY 2008</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 02-211-Z6	
Application Number 11/417,547		Filed May 3, 2006	
For System and Method for Automatic Repositioning of Market Information in a Graphical User Interface			
Art Unit 3693		Examiner Weisberger	
This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.			
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):			
		<u>Fee</u>	<u>Small Entity Fee</u>
<input type="checkbox"/>	One month (37 CFR 1.17(a)(1))	\$120	\$60
<input type="checkbox"/>	Two months (37 CFR 1.17(a)(2))	\$460	\$230
<input checked="" type="checkbox"/>	Three months (37 CFR 1.17(a)(3))	\$1050	\$525
<input type="checkbox"/>	Four months (37 CFR 1.17(a)(4))	\$1640	\$820
<input type="checkbox"/>	Five months (37 CFR 1.17(a)(5))	\$2230	\$1115
<input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/>	A check in the amount of the fee is enclosed.		
<input type="checkbox"/>	Payment by credit card. Form PTO-2038 is attached.		
<input type="checkbox"/>	The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>132490</u> . I have enclosed a duplicate copy of this sheet.		
<b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b>			
I am the	<input type="checkbox"/>	applicant/inventor.	
	<input type="checkbox"/>	assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed (Form PTO/SB/96).	
	<input checked="" type="checkbox"/>	attorney or agent of record. Registration Number <u>50,469</u>	
	<input type="checkbox"/>	attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____.	
<u>/Joseph A. Herndon/</u>		<u>February 26, 2008</u>	
Signature		Date	
<u>Joseph A. Herndon</u>		<u>312-913-3331</u>	
Typed or printed name		Telephone Number	
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.			
<input type="checkbox"/>	Total of _____ forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417547
<b>Filing Date:</b>	03-May-2006
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
First Named Inventor/Applicant Name:	Jens-Uwe Schluetter
<b>Filer:</b>	Joseph Allen Herndon
<b>Attorney Docket Number:</b>	02-211-Z6

Filed as Large Entity

### Utility Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
<b>Extension-of-Time:</b>				
Extension - 3 months with \$0 paid	0396 1253	1	1050	1050

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Request for continued examination	1801	1	810	810
<b>Total in USD (\$)</b>				<b>1860</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2909722
<b>Application Number:</b>	11417547
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8101
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Customer Number:</b>	39310
<b>Filer:</b>	Joseph Allen Herndon
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	02-211-Z6
<b>Receipt Date:</b>	26-FEB-2008
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	16:27:25
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1860
RAM confirmation Number	1781
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

0398

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1		02_211_Z6_Response.pdf	649648 66ef53751155c3b9bbc9cd9541c887b23add5591	yes	7
<b>Multipart Description/PDF files in .zip description</b>					
<b>Document Description</b>			<b>Start</b>	<b>End</b>	
Amendment After Final			1	1	
Claims			2	6	
Applicant Arguments/Remarks Made in an Amendment			7	7	

### Warnings:

### Information:

2	Information Disclosure Statement (IDS) Filed	02_211_Z6_IDS.pdf	1064231 561e95b0ca6b2d6b02211036e4a8069a4460020c	no	6
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### Warnings:

### Information:

This is not an USPTO supplied IDS fillable form

3	Request for Continued Examination (RCE)	02_211_Z6_RCE.pdf	185870 8d1ffc3b3be716748c3398186a0ac4523deb35	no	2
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### Warnings:

This is not a USPTO supplied RCE SB30 form.

### Information:

4	Foreign Reference	02033621.pdf	1886195 2c14a23ab1f414bd4348b89f1b9c5bf0e63edc19	no	48
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### Warnings:

### Information:

5	Foreign Reference	02033623.pdf	661312 3d7817d2850fb11d3b66de032d7ba75d6b3a35c7	no	16
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### Warnings:

### Information:

6	Foreign Reference	02033636.pdf	954038	no	27
			b4aa2e9fa7546863e9972bc75c650cd2af2dd0f6		
<b>Warnings:</b>					
<b>Information:</b>					
7	Foreign Reference	02033637.pdf	1221735	no	31
			d745bod6a7b6f4a149248d7c57766a8bc9948e7b		
<b>Warnings:</b>					
<b>Information:</b>					
8	Foreign Reference	01_027843.pdf	2104922	no	78
			2786e0f289e94547deb4f48a13966b1feb280fa		
<b>Warnings:</b>					
<b>Information:</b>					
9	NPL Documents	Nasdaq.pdf	4975124	no	38
			a234e71c15b416701c18f6937156466e45a3d0de		
<b>Warnings:</b>					
<b>Information:</b>					
10	NPL Documents	US03_12201_ISR.pdf	108218	no	3
			608e8f89681970165caea0e5c60469c61f8a4c48		
<b>Warnings:</b>					
<b>Information:</b>					
11	NPL Documents	OA_11_417871.pdf	298238	no	8
			fcc4485e4df5cb98f8402865e9b9a9519e8d352e		
<b>Warnings:</b>					
<b>Information:</b>					
12	NPL Documents	MLT_Trade_Vizion.pdf	184751	no	2
			e42149138e55870c811c89cb9befe8a630069c1		
<b>Warnings:</b>					
<b>Information:</b>					
13	NPL Documents	10_403757_Specification.pdf	4556355	no	93
			6b559db11b2d0fdd92393a2ecd6b9f32a5e09540		
<b>Warnings:</b>					
<b>Information:</b>					
14	NPL Documents	10_403881_Specification.pdf	10500032	no	91
			fce012446483e980cee2f37aa700dc112dd55279		
<b>Warnings:</b>					
<b>Information:</b>					
0400					



15	Miscellaneous Incoming Letter	02_211_Z6_Response_to_1_105.pdf	88245 82b620e782459847782220233804960 84dc3249e	no	1
<b>Warnings:</b>					
<b>Information:</b>					
16	NPL Documents	10_125894_Specification.pdf	14300119 5564f79f0551172fcdc07933706199bb1 ceb115a	no	93
<b>Warnings:</b>					
<b>Information:</b>					
17	Extension of Time	02_211_Z6_Ext_of_Time.pdf	121976 df1eaeef88e1b5dcd8b17879e4fc3600050f 550490	no	1
<b>Warnings:</b>					
<b>Information:</b>					
18	Fee Worksheet (PTO-06)	fee-info.pdf	8345 25bd45746f788009d5126e77a0237a8d 66110cd9	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			43869354		

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 02-211-Z6)

Appl. No. : 11/417,547 Confirmation No. 8101  
Applicant : Jens-Uwe Schluetter et al.  
Filed : 05/03/2006  
TC/A.U. : 3693  
Examiner : Richard C. Weisberger

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO THE FINAL OFFICE ACTION**  
**MAILED OCTOBER 18, 2007**

Dear Examiner,

In response to the Final Office Action of October 18, 2007, Applicant submits the following:

**Claims** begin on page 2 of this paper;

**Remarks/Arguments** begin on page 7 of this paper.

## Listing of Claims

1-54. (Cancelled)

55. (New) A method for repositioning a static price axis on a graphical user interface for the purposes of displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

adjusting a number of a plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the plurality of price levels start at a lowest value and end at a highest value;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the plurality of price levels, and wherein a number of the plurality of locations changes depending on the adjusted number of the plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

56. (New) The method of claim 55, further comprising the step of establishing that the designated price is based on a last trade price for the commodity.

57. (New) The method of claim 55, further comprising the step of establishing that the designated price is based on an inside market price for the commodity.

58. (New) The method of claim 55, further comprising the step of establishing a second designated price and automatically repositioning the static price axis on the graphical user interface to the position the second designated price at a predetermined location in relation to the static price axis, wherein the current inside market price is displayed at the new location responsive to the step of automatically repositioning the static price axis.

59. (New) The method of claim 58, wherein the second designated price is based on a last trade price for the commodity.

60. (New) The method of claim 58, wherein the second designated price is based on an inside market price for the commodity.

61. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels above the lowest value.

62. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls below the lowest value displayed along the static price axis.

63. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels below the highest value.

64. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls above the highest value displayed along the static price axis.

65. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the lowest value.

66. (New) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the highest value.

67. (New) The method of claim 55, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

68. (New) The method of claim 55, further comprising receiving a manual command from a user input device to reposition the static price.

69. (New) The method of claim 55, wherein the new desired location is a location that displays the first and second indicators substantially centered between the lowest value and the highest value along the static price axis.

70. (New) The method of claim 55, further comprising:  
displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the static price axis; and

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

71. (New) A computer readable medium having computer-readable instructions thereon, which when executed by a computer perform the following steps:

receiving market information relating to a commodity from an electronic exchange, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

adjusting a number of a plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the plurality of price levels start at a lowest value and end at a highest value;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the plurality of price levels, and wherein a number of the plurality of locations changes depending on the adjusted number of the plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of

price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

72. (New) The computer readable medium of claim 71, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

73. (New) The computer readable medium of claim 71, further comprising receiving a manual command to reposition the static price.

**REMARKS**

Applicant thanks the Examiner for indicating allowable subject matter in the Final Rejection mailed on October 18, 2007 if the 35 U.S.C. 112, second paragraph rejection was overcome. Particularly, claims 1 and 35-54 would be allowable upon overcoming the rejection that states the term "working order" as in used in these claims is indefinite in scope. While Applicant believes "working order" as it is used in these claims is definite in scope, Applicant cancels claims 1, and 35-54, without prejudice, to focus the claims in this application on a specific embodiment. Applicant reserves the right to pursue the subject matter of the canceled claims, in one form or another, in a continuation application. Given the current amendment, Applicant believes that the rule 105 request for a demonstration mailed on October 18, 2007 may be moot. However, if the Examiner would find such a demonstration, or any other information, helpful in examining the newly presented claims, Applicant would provide the demonstration or information upon request. Applicant respectfully submits that new claims 55-73 are in condition for allowance over the art of record. An indication of the same is respectfully requested. If the Examiner believes that further dialog would expedite consideration of the application, the Examiner is courteously invited to contact Mark Triplett at (312) 476-1151 or the undersigned attorney.

Respectfully submitted,

Date: February 26, 2008

By: /Joseph A. Herndon/  
Joseph A. Herndon  
Reg. No. 50,469



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>11/417,547</b>	Filing Date <b>05/03/2006</b>	<input type="checkbox"/> To be Mailed
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APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	SMALL ENTITY <input type="checkbox"/>	OR			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)		RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		OR	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		OR	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).				OR		
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>					OR		
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		OR	TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	DATE	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	<b>02/26/2008</b>						OR		
	Total (37 CFR 1.16(i))	* 19	Minus	** 34	=	0	OR	X \$50=	0
	Independent (37 CFR 1.16(h))	* 2	Minus	***3	=	0	OR	X \$210=	0
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))								
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	<b>0</b>

	(Column 1)	(Column 2)	(Column 3)						
AMENDMENT	DATE	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
							OR		
	Total (37 CFR 1.16(i))	*	Minus	**	=		OR	X \$ =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=		OR	X \$ =	
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))								
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".  
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

Legal Instrument Examiner:  
 /GYZELL P. JOHNSON SMITH/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**  
 If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	Jens-Uwe Schluetter	02-211-Z6	8101
39310	7590	06/13/2008	EXAMINER	
MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606			WEISBERGER, RICHARD C	
			ART UNIT	PAPER NUMBER
			3693	
			MAIL DATE	DELIVERY MODE
			06/13/2008	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 11/417,547	<b>Applicant(s)</b> SCHLUETTER ET AL.	
	<b>Examiner</b> Richard C. Weisberger	<b>Art Unit</b> 3693	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 3/20/2008.
- 2a)  This action is **FINAL**.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 55-73 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 55-73 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.
  - Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
  - Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All    b)  Some \*    c)  None of:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_.

Art Unit: 3693

**DETAILED ACTION*****Double Patenting***

Claims 55-73 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-34 of U.S. Patent No. 6772132. Although the conflicting claims are not identical, they are not patentably distinct from each other because it would have obvious for one to designate a number of price levels to trigger a repositioning as motivated by the need to trigger the repositioning of the prior art.

Claims 55-73 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-26 of U.S. Patent No. 6766304. Although the conflicting claims are not identical, they are not patentably distinct from each other because it would have obvious for one to designate a number of price levels to trigger a repositioning as motivated by the need to trigger the repositioning of the prior art.

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

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A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claim Rejections - 35 USC § 112

Claims 58-60 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

The claim is confusing. See line 3 of claim 58. Does the applicant mean repositioning "to" the second designated price.

Claim Rejections - 35 USC § 103

Claims 55-57 and 61-73 are rejected under 35 U.S.C. 103(a) as being unpatentable over TSE, Next Generation Futures Options Trading System.

The reference teaches of displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

Art Unit: 3693

adjusting a number of a plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the plurality of price levels start at a lowest value and end at a highest value;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the plurality of price levels, and wherein a number of the plurality of locations changes depending on the adjusted number of the plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

See Chapter 7, section 7-3-2.

Art Unit: 3693

The reference fails to teach receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis. It would have obvious for one to designate a number of price levels to trigger a repositioning as motivated by the need to trigger the repositioning of the prior art.

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Richard C. Weisberger whose telephone number is 571 272 6753. The examiner can normally be reached on 8:30-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on 571 272 6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Richard C Weisberger/  
Primary Examiner, Art Unit 3693


Richard C Weisberger  
Primary Examiner  
Art Unit 3693

Application/Control Number: 11/417,547

Page 6

Art Unit: 3693



<b><i>Index of Claims</i></b>  	<b>Application/Control No.</b> 11417547	<b>Applicant(s)/Patent Under Reexamination</b> SCHLUETTER ET AL.
	<b>Examiner</b> Richard C Weisberger	<b>Art Unit</b> 3693

✓	<b>Rejected</b>
=	<b>Allowed</b>


-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	05/26/2008							
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<b><i>Index of Claims</i></b>  	<b>Application/Control No.</b> 11417547	<b>Applicant(s)/Patent Under Reexamination</b> SCHLUETTER ET AL.
	<b>Examiner</b> Richard C Weisberger	<b>Art Unit</b> 3693

✓	<b>Rejected</b>
=	<b>Allowed</b>


-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	05/26/2008							
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<b>Index of Claims</b>  	<b>Application/Control No.</b>  11417547	<b>Applicant(s)/Patent Under Reexamination</b>  SCHLUETTER ET AL.
	<b>Examiner</b>  Richard C Weisberger	<b>Art Unit</b>  3693

✓	<b>Rejected</b>
=	<b>Allowed</b>


-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	05/26/2008							
	127								

<b>Search Notes</b>  	<b>Application/Control No.</b>  11417547	<b>Applicant(s)/Patent Under Reexamination</b>  SCHLUETTER ET AL.
	<b>Examiner</b>  Richard C Weisberger	<b>Art Unit</b>  3693

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>
705	35-45	5/2008	rw

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
Dialog	5/2008	rw

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	0	"7127424"	US-PGPUB	OR	ON	2008/05/26 21:36
L2	0	"7127424.pn."	USPAT	OR	ON	2008/05/26 21:36
L3	1	"7127424".pn.	USPAT	OR	ON	2008/05/26 21:36
L4	0	"09590692".pn.	USPAT	OR	ON	2008/05/26 21:42
L5	1	"6772132".pn.	USPAT	OR	ON	2008/05/26 21:42
L6	3	recentering and axis and price and quantity	USPAT	OR	ON	2008/05/26 21:46
L7	5	re-centering and axis and price and quantity	USPAT	OR	ON	2008/05/26 21:46
L8	32	re-centering and axis and price and quantity	US-PGPUB	OR	ON	2008/05/26 21:51
L9	0	re-centering and axis and price and quantity and gltrade	US-PGPUB	OR	ON	2008/05/26 21:52
L10	0	re-centering and axis and price and quantity and "gl trade"	US-PGPUB	OR	ON	2008/05/26 21:52
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L20	0	gltrade.asn.	US-PGPUB	OR	ON	2008/05/26 22:09
L21	0	gl-trade.asn.	US-PGPUB	OR	ON	2008/05/26 22:09

5/26/08 10:11:25 PM

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT***(Use as many sheets as necessary)***Complete if Known**

Application Number	11/417,547
Filing Date	May 3, 2006
First Named Inventor	Brumfield
Art Unit	3693
Examiner Name	Weisberger
Attorney Docket Number	02-211-Z6

Sheet 1 of 6

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		us- 4,674,044	6-16-87	Kalmus	
		us- 4,751,035	6-7-88	Boilen	
		us- 4,903,201	2-20-90	Wagner	
		us- 5,038,284	8-6-91	Kramer	
		us- 5,077,665	12-31-91	Silverman	
		us- 5,101,353	3-31-92	Lupien	
		us- 5,136,501	8-4-92	Silverman	
		us- 5,270,922	12-14-93	Higgins	
		us- 5,297,031	3-22-94	Gutterman	
		us- 5,297,032	3-22-94	Trojan	
		us- 5,689,651	11-18-97	Lozman	
		us- 5,768,158	6-16-98	Adler	
		us- 5,774,877	6-30-98	Patterson	
		us- 5,793,301	11-8-98	Patterson	
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		us- 5,845,266	12-1-98	Lupien	
		us- 5,873,071	2-16-99	Ferstenberg	
		us- 5,915,245	6-22-99	Patterson	

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		Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known)				
		WO 02/33621	4-25-02	Otero et al		
		WO 02/33623	4-25-02	Otero et al		
		WO 02/33636	4-25-02	Otero et al		
		WO 02/33637	4-25-02	Otero et al		
		WO 01/27843	4-19-01	Gilman et al		

Examiner Signature	Date Considered
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Application Number	11/417,547
Filing Date	May 3, 2006
First Named Inventor	Brumfield
Art Unit	3693
Examiner Name	Weisberger
Attorney Docket Number	02-211-Z6

Sheet 2 of 6

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		Number-Kind Code <sup>2</sup> (if known)			
		us- 5,924,082	7-13-99	Silverman	
		us- 5,924,083	7-13-99	Silverman	
		us- 5,926,801	7-20-99	Matsubara	
		us- 5,946,667	8-31-99	Tull	
		us- 5,963,923	10-5-99	Garber	
		us- 6,012,046	1-4-00	Lupien	
		us- 6,035,287	3-7-00	Stallaert	
		us- 6,098,051	8-1-00	Lupien	
		us- 6,131,087	10-10-00	Luke	
		us- 6,134,535	10-17-00	Belzberg	
		us- 6,195,647	2-27-01	Martyn	
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		us- 6,282,521	8-28-01	Howorka	
		us- 6,697,099	2-24-04	Smith	
		us- 6,876,981	4-5-05	Berckmans	
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		us- 7,155,410	12-26-06	Woodmansey	

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		Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known)				

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Application Number	11/417,547
Filing Date	May 3, 2006
First Named Inventor	Brumfield
Art Unit	3693
Examiner Name	Weisberger
Attorney Docket Number	02-211-Z6

Sheet 3 of 6

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 7,181,425	2-20-07	Cha	
		US- 2002/023038	2-21-02	Fritsch	
		US- 2002/0035534	3-21-02	Buist	
		US- 2002/0059129	5-16-02	Kemp	
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		US- 2002/0046146	4-18-02	Otero et al	
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Application Number	11/417,547
Filing Date	May 3, 2006
First Named Inventor	Brumfield
Art Unit	3693
Examiner Name	Weisberger
Attorney Docket Number	02-211-Z6

Sheet 4 of 6

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		us- 5,675,746	10-7-97	Marshall	
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		us- 6,014,643	1-11-00	Minton	
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		us- 2003/0004852	1-2-03	Burns	
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		us- 2004/0117292	6-17-04	Brumfield	

**FOREIGN PATENT DOCUMENTS**

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /R.W./

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	11/417,547
		Filing Date	May 3, 2006
		First Named Inventor	Brumfield
		Art Unit	3693
		Examiner Name	Weisberger
		Attorney Docket Number	02-211-Z6
Sheet	5	of	6

U. S. PATENT DOCUMENTS					
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		us- 2006/0259383	11-16-06	Kemp et al	
		us- 2006/0271475	11-30-06	Brumfield et al	
		us- 2006/0259384	11-16-06	Schluetter et al	
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		us- 2006/0259404	11-6-06	Brumfield	
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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number	11/417,547
		Filing Date	May 3, 2006
		First Named Inventor	Brumfield
		Art Unit	3693
		Examiner Name	Weisberger
		Attorney Docket Number	02-211-Z6
Sheet	6	of	6

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		NASDAQ Workstation II User Guide, Guide to Enhancements for NASDAQ Workstation II Software Release (April 1998) as viewed on the Internet Achieves <a href="http://web.archive.org/web/20031208041112/nasdaqtrader.com/trader/tradingservices/productservices/userguides/nwliguide.pdf">http://web.archive.org/web/20031208041112/nasdaqtrader.com/trader/tradingservices/productservices/userguides/nwliguide.pdf</a>	
		International Search Report for PCT/US03/12201	
		Office Action issued by the USPTO on 6/26/07 for application serial no. 11/417,871	
		Pending U.S. patent application serial number 10/403,757 filed 3/31/03	
		Pending U.S. patent application serial number 10/125,894 filed 4/19/02	
		Pending U.S. patent application serial number 10,403,881 filed 3/31/03	
		MLT Trade Vizion, <a href="http://www.trade-vizion.com/modules.php?name+Products">http://www.trade-vizion.com/modules.php?name+Products</a> – 7/29/04	

Examiner Signature	/Richard Weisberger/	Date Considered	06/06/2008
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /R.W./

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 02-211-Z6)

Appl. No. : 11/417,547 Confirmation No. 8101  
Applicant : Jens-Uwe Schluetter et al.  
Filed : 05/03/2006  
TC/A.U. : 3693  
Examiner : Richard C. Weisberger

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO THE NON-FINAL OFFICE ACTION**  
**MAILED JUNE 13, 2008**

Dear Examiner,

In response to the Non-Final Office Action of June 13, 2008, Applicant submits the following:

**Amendments to the Claims** begin on page 2 of this paper;

**Remarks** begin on page 7 of this paper.

### AMENDMENTS TO THE CLAIMS

This listing of claims replaces all prior versions, and listings, of claims in the application:

#### Listing of Claims

1-54. (Cancelled)

55. (Currently Amended) A method for repositioning a static price axis on a graphical user interface for ~~the purposes of~~ displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

adjusting a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted number including the displayed plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the plurality of price levels, and wherein a number of the plurality of locations changes depending on the adjusted number of the plurality of price levels;

displaying a first indicator representing a quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing a quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region,

wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

56. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on a last trade price for the commodity.

57. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on an inside market price for the commodity.

58. (Currently Amended) The method of claim 55, further comprising the step of establishing a second designated price and automatically repositioning the static price axis on the graphical user interface to ~~the~~ the position the second designated price at a predetermined location in relation to the static price axis, wherein the current inside market price is displayed at the new location responsive to the step of automatically repositioning the static price axis.

59. (Previously Presented) The method of claim 58, wherein the second designated price is based on a last trade price for the commodity.

60. (Previously Presented) The method of claim 58, wherein the second designated price is based on an inside market price for the commodity.

61. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels above the lowest value.

62. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls below the lowest value displayed along the static price axis.
63. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels below the highest value.
64. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls above the highest value displayed along the static price axis.
65. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the lowest value.
66. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the highest value.
67. (Previously Presented) The method of claim 55, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.
68. (Previously Presented) The method of claim 55, further comprising receiving a manual command from a user input device to reposition the static price.
69. (Previously Presented) The method of claim 55, wherein the new desired location is a location that displays the first and second indicators substantially centered between the lowest value and the highest value along the static price axis.
70. (Previously Presented) The method of claim 55, further comprising:  
displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the static price axis; and  
in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

71. (Currently Amended) A computer readable medium having computer-readable instructions thereon, which when executed by a computer perform the following steps:

receiving market information relating to a commodity from an electronic exchange, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

adjusting a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted number including the displayed plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the plurality of price levels, and wherein a number of the plurality of locations changes depending on the adjusted number of the plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and



responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

72. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

73. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a manual command to reposition the static price.

74. (New) A method for electronic trading of a commodity being traded at an electronic exchange, the method comprising:

electronically receiving market information for a tradeable object, the market information identifying an inside market defined by a current highest bid price and a current lowest ask price;

adjusting a variable number of displayed price levels of a static price axis via a graphical user interface, the variable number of displayed price levels adjustable within a range of displayed price levels of the static price axis in response to a user input identifying at least one of the variable number of price levels;

displaying an order display region via the graphical user interface, the order display region having a number of locations each corresponding to at least one of the variable number of price levels, the number of locations varying according to the at least one identified number of price levels;

displaying a highest bid price indicator and a lowest price indicator via the graphical user interface, each movable with respect to the static price axis according to changes in the inside market;

repositioning the static price axis with respect to the graphical user interface such according to the market information identifying an inside market being within a predetermined number of a limit of the range of the variable number of price levels of the static price axis.

## REMARKS

### I. Summary

Applicant thanks Examiner Weisberger for the thorough examination and summary provided in the Office Action mailed June 13, 2008 (“Office Action”), which set forth the following rejections:

- claims 55-73 were rejected on the ground of non-statutory obviousness-type double patenting over claims 1-34 of U.S. Patent 6,772,132 and over claims 1-26 of U.S. Patent 6,766,304.
- claims 58-60 were rejected under 35 U.S.C. § 112, ¶ 2 as being indefinite.
- claims 55-57 and 61-73 were rejected under 35 U.S.C. § 103 as being unpatentable over TSE, *Next Generation Futures Option Trading System* (“TSE”).

By this submission, claims 55, 58 and 71 have been amended to clarify the claimed subject matter, and new claim 74 has been added. Support for the amended claims and the new claim may be found throughout the application. No new matter has been added. In addition, Applicant notes that claims 58-60 have not been rejected on the basis of any prior art and include allowable subject matter except for the rejections under 35 U.S.C. §§ 101 and 112, ¶ 2. Because the rejections have been obviated, Applicant expects that claims 58-60 include allowable subject matter. Moreover, Applicant submits that the cited art does not disclose the features of the pending claims for at least the following reasons:

### II. Related Applications

Applicant understands that the Examiner reviews the claims and prosecution history of related applications as they contain common subject matter. For the purposes of the present application, Applicant hereby rescinds any disclaimer of claim scope that may have been (or may be) made during the prosecution of any related application. Applicant respectfully requests examination of the instant claims according to the claim language in light of the prior art without importing statements made by the Applicant in the prosecution of any related application.

III. Double-Patenting

Applicant has attached a Terminal Disclaimer in order to expedite allowance. Accordingly, the rejection is obviated.

IV. Rejection under 35 U.S.C. 112

Claim 58 has been amended to clarify the claimed subject matter. Accordingly, the rejection of claims 58-60 are obviated.

V. Rejection under 35 U.S.C. 103

*Independent Claim 55 and 71*

Independent claim 55 relates to a method for repositioning a static price axis on a graphical user interface. Claim 71 relates to a computer readable medium having computer-readable instructions. In both, market information relating to a commodity is received from an electronic exchange and includes an inside market with a current highest bid price and a current lowest ask price for the commodity. In addition, a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface is adjusted in response to an input command to modify the number of displayed price levels. The number of price levels is modified among a range of price levels to an adjusted number. The static price axis is automatically repositioned when a designated price is within a designated number of price levels from a lowest or highest value along the static price axis of the displayed plurality of price levels.

In contrast to claims 55 and 71, TSE relates to displaying content in a board screen in one of six formats. (TSE 4(1)b; Chapter 7). The selection of the format also determines the size of the screen, and therefore a number of prices in the board screen. (Chapter 7, 7-3-1). That is, when a larger number of issues is selected (3-6 partition), each of the selected issues are shown in a smaller format; and when a smaller number of issues is selected (2-partition), the selected issues are shown in the larger format. Indeed, TSE discloses that, in the larger format (2-partition board screen shown in TSE), the number of displayed prices is 20, and in smaller partitions (both of the 4/6 partition screen), the number of prices shown is 6. (Chapter 7, 7-3-1 see also Figure at 7-17). TSE discloses that the price levels may be scrolled and updated, but TSE does not disclose that a number of displayed price levels may be adjusted. That is,

according to TSE, the number of price levels for the larger format is always 20 and in the smaller format, the number of price levels is always 6.

TSE does not disclose or suggest that a number of displayed price levels may be adjusted as included in claims 55 and 71. In TSE, the number of displayed price levels remains constant at either the selected larger format where the number of price levels is fixed at 20 or the smaller format where the number of price levels is fixed at 6. Nothing in TSE discloses or suggests that the number price levels may be adjusted or modified from the number of displayed price levels. In addition, although TSE discloses that the format for display board may be selected, nothing in TSE discloses or suggests that the selection is to “modify the number of the displayed plurality of price levels” as included in the claims. To the contrary, the selection in TSE is for the number of issues to be displayed, and not to adjust a number of a displayed plurality of price levels. In addition, a selection of a format for the boards which show either 6 or 20 prices levels does not disclose or suggest modifying the number of displayed plurality of price levels among a range of price levels to an adjusted number. The number of price levels in TSE is fixed at 20 or 6 and does not include a range. Therefore, in TSE, there is no modifying a number of price levels among a range.

As such, Applicant respectfully submits that TSE does not disclose or suggest the feature of “adjusting a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted number including the displayed plurality of price levels,” as included in the claims. Accordingly, Applicant respectfully submits that features of claims 55 and 71 are entirely missing in the cited art and would not be obvious.

*New Claim 74*

Independent claim 74 relates to a method for electronic trading where a variable number of a plurality price levels is displayed along a static price axis on a graphical user interface. The variable number of displayed price levels are adjustable within a range of price levels in response to a user input identifying at least one of the number of price levels. As discussed, TSE does not disclose or suggest the feature of a displaying a variable number of plurality of price levels. Accordingly, Applicant asserts that claim 74 is also not obvious over the cited art.

*Dependent Claims*

Applicant respectfully submits that the dependent claims are allowable for at least the same reasons as their respective independent claims, as well as for the additional features recited. Accordingly, favorable withdrawal of the rejection is respectfully requested.

VI. Official Notice Taken By The Examiner

Applicant also notes that claims 55-57 and 61-73 were rejected under 35 U.S.C. § 103 as being unpatentable over TSE, but the Office Action acknowledges that the feature of “receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis” is not disclosed or suggested by TSE. Applicant agrees that the feature of the claims is missing in TSE. The Office Action asserts that it would be obvious for one to designate a number of price levels to trigger a reposition as motivated by the need to trigger the repositioning of the prior art, but there is no prior art reference cited to support the assertion that the feature and motivation was known. Accordingly, it appears that the rejection under 35 U.S.C. § 103 is based on facts within the personal knowledge of the Examiner and/or on Official Notice. To the extent that the rejection of these claims is not withdrawn, Applicant hereby request the Examiner to supply an affidavit supporting such facts and/or Official Notice, as required by the MPEP at 2144.03 to afford Applicant an opportunity to challenge the correctness of the assertion.

VII. Conclusion

Applicant respectfully submits that the rejections are obviated and that the pending claims are in a condition for allowance. Favorable reconsideration and withdrawal of the rejections are respectfully requested. The Examiner is invited contact Trading Technologies in-house Patent Counsel Joseph Flerlage at 312-698-6065 if it would expedite prosecution.

Respectfully submitted,  
McDonnell Boehnen Hulbert & Berghoff LLP

Date: October 14, 2008

By: /Jeffrey P. Armstrong /  
Jeffrey P. Armstrong  
Reg. No. 54,967

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**TERMINAL DISCLAIMER TO OBIVATE A DOUBLE PATENTING  
REJECTION OVER A "PRIOR" PATENT**

Docket Number (Optional)

02-211-Z6

In re Application of: Harris C. Brumfield; Jens-Uwe Schluetter

Application No.: 11/417,547

Filed: May 03, 2006

For: System and Method for Automatic Repositioning of Market Information in a  
Graphical User Interface

The owner\*, Trading Technologies International, Inc., of 100% percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application which would extend beyond the expiration date of the full statutory term **prior patent** No. 6,766,304 as the term of said prior patent is defined in 35 U.S.C. 154 and 173, and as the term of said **prior patent** is presently shortened by any terminal disclaimer. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the **prior patent** are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of the term of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of the **prior patent**, "as the term of said **prior patent** is presently shortened by any terminal disclaimer," in the event that said **prior patent** later:

- expires for failure to pay a maintenance fee;
- is held unenforceable;
- is found invalid by a court of competent jurisdiction;
- is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321;
- has all claims canceled by a reexamination certificate;
- is reissued; or
- is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney or agent of record. Reg. No. 54,967

/Jeffrey P. Armstrong/

October 14, 2008

Signature

Date

Jeffrey P. Armstrong

Typed or printed name

312-913-0001

Telephone Number

- Terminal disclaimer fee under 37 CFR 1.20(d) included.

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The information provided by you in this form will be subject to the following routine uses:

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
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**TERMINAL DISCLAIMER TO OBIVATE A DOUBLE PATENTING  
REJECTION OVER A "PRIOR" PATENT**Docket Number (Optional)  
02-211-Z6

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Application No.: 11/417,547

Filed: May 03, 2006

For: System and Method for Automatic Repositioning of Market Information in a  
Graphical User Interface

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- is found invalid by a court of competent jurisdiction;
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2.  The undersigned is an attorney or agent of record. Reg. No. 54,967

/Jeffrey P. Armstrong/

October 14, 2008

Signature

Date

Jeffrey P. Armstrong

Typed or printed name

312-913-0001

Telephone Number

- Terminal disclaimer fee under 37 CFR 1.20(d) included.

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2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		11417547	
	Filing Date		2006-05-03	
	First Named Inventor	Harris Brumfield		
	Art Unit		3693	
	Examiner Name	Richard C. Weisberger		
	Attorney Docket Number		02-211-Z6	

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5689652		1997-11-18	Lupien et al.	
	2	5950177		1999-09-07	Lupien et al.	
	3	6839686	B1	2005-01-04	Galant	
	4	7209896	B1	2007-04-24	Serkin et al.	
	5	7243083	B2	2007-07-10	Burns et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020091611	A1	2002-07-11	Minton	

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	11417547
	Filing Date	2006-05-03
	First Named Inventor	Harris Brumfield
	Art Unit	3693
	Examiner Name	Richard C. Weisberger
	Attorney Docket Number	02-211-Z6

2	20060259411	A1	2006-11-16	Burns	
---	-------------	----	------------	-------	--

If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1		<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	11417547		
Filing Date	2006-05-03		
First Named Inventor	Harris Brumfield		
Art Unit	3693		
Examiner Name	Richard C. Weisberger		
Attorney Docket Number	02-211-Z6		

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Jeffrey P. Armstrong/	Date (YYYY-MM-DD)	2008-10-14
Name/Print	Jeffrey P. Armstrong	Registration Number	54,967

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Under the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)</b> <b>FY 2008</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 02-211-Z6
Application Number 11/417,547		Filed May 03, 2006
For System and Method for Automatic Repositioning of Market Information in a Graphical User Interface System		
Art Unit 3693		Examiner Richard C. Weisberger
This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.		
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):		
	<u>Fee</u>	<u>Small Entity Fee</u>
<input checked="" type="checkbox"/> One month (37 CFR 1.17(a)(1))	\$130	\$65      \$ 130
<input type="checkbox"/> Two months (37 CFR 1.17(a)(2))	\$490	\$245      \$ _____
<input type="checkbox"/> Three months (37 CFR 1.17(a)(3))	\$1110	\$555      \$ _____
<input type="checkbox"/> Four months (37 CFR 1.17(a)(4))	\$1730	\$865      \$ _____
<input type="checkbox"/> Five months (37 CFR 1.17(a)(5))	\$2350	\$1175      \$ _____
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/> A check in the amount of the fee is enclosed.		
<input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.		
<input type="checkbox"/> The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/> The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>13-2490</u> . I have enclosed a duplicate copy of this sheet.		
<b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b>		
I am the <input type="checkbox"/> applicant/inventor.		
<input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed (Form PTO/SB/96).		
<input checked="" type="checkbox"/> attorney or agent of record. Registration Number <u>54,967</u>		
<input type="checkbox"/> attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____		
<u>/Jeffrey P. Armstrong/</u> Signature		<u>October 14, 2008</u> Date
<u>Jeffrey P. Armstrong</u> Typed or printed name		<u>312-913-0001</u> Telephone Number
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.		
<input checked="" type="checkbox"/> Total of <u>1</u> forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417547
<b>Filing Date:</b>	03-May-2006
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Filer:</b>	Jeffrey Armstrong
<b>Attorney Docket Number:</b>	02-211-Z6

Filed as Large Entity

### Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
Extension - 1 month with \$0 paid	0448 1251	1	130	130



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Submission- Information Disclosure Stmt	1806	1	180	180
Statutory disclaimer	1814	2	140	280
<b>Total in USD (\$)</b>				<b>590</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	4113109
<b>Application Number:</b>	11417547
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8101
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Customer Number:</b>	39310
<b>Filer:</b>	Jeffrey Armstrong
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	02-211-Z6
<b>Receipt Date:</b>	14-OCT-2008
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	17:56:56
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$590
RAM confirmation Number	3737
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.450 (Miscellaneous fees and charges)

<b>File Listing:</b>					
<b>Document Number</b>	<b>Document Description</b>	<b>File Name</b>	<b>File Size(Bytes)/ Message Digest</b>	<b>Multi Part /.zip</b>	<b>Pages (if appl.)</b>
1		02_211_Z6_Response.pdf	158315 d173da933fc5fa2658a238e4ec64c54b8682800a	yes	10
<b>Multipart Description/PDF files in .zip description</b>					
<b>Document Description</b>			<b>Start</b>	<b>End</b>	
Amendment/Req. Reconsideration-After Non-Final Reject			1	1	
Claims			2	6	
Applicant Arguments/Remarks Made in an Amendment			7	10	
<b>Warnings:</b>					
<b>Information:</b>					
2	Terminal Disclaimer Filed	02_211_Z6_TD_for_6766304.pdf	41548 e04c9bc12dbcf448cf92efaa648151e31dbd81	no	2
<b>Warnings:</b>					
<b>Information:</b>					
3	Terminal Disclaimer Filed	02_211_Z6_TD_for_6772132.pdf	41546 2fc8d01d8d45346cb93b877eff8028f72cca8bb6	no	2
<b>Warnings:</b>					
<b>Information:</b>					
4	Information Disclosure Statement (IDS) Filed (SB/08)	02_211_Z6_IDS.pdf	34034 1c1ef22417748564b5ba4aee798de1c06ceabfcc	no	4
<b>Warnings:</b>					
<b>Information:</b>					
This is not an USPTO supplied IDS fillable form					
5	Extension of Time	02_211_Z6_Petition_for_EOT.pdf	87329 090f09ddea60450bb3ee1455aef6d4129672e33cf	no	2
<b>Warnings:</b>					
<b>Information:</b>					
6	Fee Worksheet (PTO-06)	fee-info.pdf	33119 83a7e76a0fc5b240675250317829dd5707c35d9e	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			395891		

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/06 (10-07)

**PATENT APPLICATION FEE DETERMINATION RECORD**

Substitute for Form PTO-875

Application or Docket Number

11/417,547

**APPLICATION AS FILED - PART I**

FOR	NUMBER FILED (Column 1)	NUMBER EXTRA (Column 2)
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A
TOTAL CLAIMS (37 CFR 1.16(j))	minus 20 =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$260 (\$130 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))		

SMALL ENTITY	
RATE (\$)	FEE (\$)
N/A	
N/A	
N/A	
x 25 =	
x 105 =	
185	
TOTAL	

OTHER THAN SMALL ENTITY	
RATE (\$)	FEE (\$)
N/A	
N/A	
N/A	
x 50 =	
x 210 =	
370	
TOTAL	

\* If the difference in column 1 is less than zero, enter "0" in column 2.

**APPLICATION AS AMENDED - PART II**

10/14/08

	CLAIMS REMAINING AFTER AMENDMENT (Column 1)		HIGHEST NUMBER PREVIOUSLY PAID FOR (Column 2)	PRESENT EXTRA (Column 3)
Total (37 CFR 1.16(j))	20	Minus	34	=
Independent (37 CFR 1.16(h))	3	Minus	3	=
Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))				

SMALL ENTITY	
RATE (\$)	ADDITIONAL FEE (\$)
x 25 =	
x 105 =	
185	
TOTAL ADD'L FEE	

OTHER THAN SMALL ENTITY	
RATE (\$)	ADDITIONAL FEE (\$)
x 50 =	
x 210 =	
370	
TOTAL ADD'L FEE	

	CLAIMS REMAINING AFTER AMENDMENT (Column 1)		HIGHEST NUMBER PREVIOUSLY PAID FOR (Column 2)	PRESENT EXTRA (Column 3)
Total (37 CFR 1.16(j))		Minus		=
Independent (37 CFR 1.16(h))		Minus		=
Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))				

SMALL ENTITY	
RATE (\$)	ADDITIONAL FEE (\$)
x 25 =	
x 105 =	
185	
TOTAL ADD'L FEE	

OTHER THAN SMALL ENTITY	
RATE (\$)	ADDITIONAL FEE (\$)
x 50 =	
x 210 =	
370	
TOTAL ADD'L FEE	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".  
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	Jens-Uwe Schluetter	02-211-Z6	8101
39310	7590	01/16/2009	EXAMINER	
MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606			WEISBERGER, RICHARD C	
			ART UNIT	PAPER NUMBER
			3693	
			MAIL DATE	DELIVERY MODE
			01/16/2009	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.



Art Unit: 3693

***Election/Restrictions***

Newly submitted claim 74 is directed to an invention that is independent or distinct from the invention originally claimed for the following reasons: the claim is an intermediate product separately usable to the originally examined claim.

Since applicant has received an action on the merits for the originally presented invention, this invention has been constructively elected by original presentation for prosecution on the merits. Accordingly, claims 74 is withdrawn from consideration as being directed to a non-elected invention. See 37 CFR 1.142(b) and MPEP § 821.03.

***Claim Rejections - 35 USC § 112***

Claims 55-74 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

In the claims the step of adjusting a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted number including the displayed plurality of price levels is indefinite in scope on its face. It is not clear what the applicant is attempting to claim.

***Claim Rejections - 35 USC § 103***

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claims 55-74 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tokyo Stock Exchange Document.



Art Unit: 3693

The newly submitted claims language fails to further limit the claimed invention. The language “being adjustable” is an intended use limitation. Compare this with the “adjusting” limitation.

With no other arguments presented, the rejection is maintained.

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Richard C. Weisberger whose telephone number is 571 272 6753. The examiner can normally be reached on 8:30-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on 571 272 6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3693

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Richard C Weisberger/  
Primary Examiner, Art Unit 3693

Richard C Weisberger  
Primary Examiner  
Art Unit 3693

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		11417547	
	Filing Date		2006-05-03	
	First Named Inventor	Harris Brumfield		
	Art Unit		3693	
	Examiner Name	Richard C. Weisberger		
	Attorney Docket Number		02-211-Z6	

**U.S.PATENTS**

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5689652		1997-11-18	Lupien et al.	
	2	5950177		1999-09-07	Lupien et al.	
	3	6839686	B1	2005-01-04	Galant	
	4	7209896	B1	2007-04-24	Serkin et al.	
	5	7243083	B2	2007-07-10	Burns et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020091611	A1	2002-07-11	Minton	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	11417547
Filing Date	2006-05-03
First Named Inventor	Harris Brumfield
Art Unit	3693
Examiner Name	Richard C. Weisberger
Attorney Docket Number	02-211-Z6

2	20060259411	A1	2006-11-16	Burns	
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If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

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**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1		<input type="checkbox"/>

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**EXAMINER SIGNATURE**

Examiner Signature	/Richard Weisberger/	Date Considered	01/15/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

**REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL  
 (Submitted Only via EFS-Web)**

Application Number	11417547	Filing Date	2006-05-03	Docket Number (if applicable)	02-211-Z6	Art Unit	3693
First Named Inventor	Jens-Uwe Schluetter			Examiner Name	Richard C. Weisberger		

**This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.**  
 Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV

**SUBMISSION REQUIRED UNDER 37 CFR 1.114**

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

- Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.
- Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_
- Other \_\_\_\_\_
- Enclosed
- Amendment/Reply
- Information Disclosure Statement (IDS)
- Affidavit(s)/ Declaration(s)
- Other \_\_\_\_\_

**MISCELLANEOUS**

- Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months \_\_\_\_\_  
 (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- Other \_\_\_\_\_

**FEES**

- The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
- The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 132490

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

- Patent Practitioner Signature
- Applicant Signature

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Signature of Registered U.S. Patent Practitioner			
Signature	/Jeffrey P. Armstrong/	Date (YYYY-MM-DD)	2009-03-05
Name	Jeffrey P. Armstrong	Registration Number	54967

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 02-211-Z6)

Appl. No. : 11/417,547 Confirmation No. 8101  
Applicant : Jens-Uwe Schluetter et al.  
Filed : 05/03/2006  
TC/A.U. : 3693  
Examiner : Richard C. Weisberger

Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO THE FINAL OFFICE ACTION MAILED**  
**JANUARY 16, 2009, SUBMITTED WITH A**  
**REQUEST FOR CONTINUED EXAMINATION**

Dear Sir,

Please consider the following Amendments and Remarks in response to the Final Office Action mailed January 16, 2009:

**Amendments to the Claims** begin on page 2 of this response;

**Remarks** begin on page 8 of this response.

**AMENDMENTS TO THE CLAIMS**

This listing of claims replaces all prior versions, and listings, of claims in the application:

1-54. (Canceled)

55. (Currently Amended) A method for repositioning a static price axis on a graphical user interface for displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of a display device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted plurality of price levels number including the displayed first plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first ~~depending on the adjusted number of the~~ plurality of price levels;

displaying a first indicator representing a quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price



occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing a quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

56. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on a last trade price for the commodity.

57. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on an inside market price for the commodity.

58. (Previously Presented) The method of claim 55, further comprising the step of establishing a second designated price and automatically repositioning the static price axis on the graphical user interface to ~~the~~ the position the second designated price at a predetermined location in relation to the static price axis, wherein the current inside market price is displayed at the new location responsive to the step of automatically repositioning the static price axis.

59. (Previously Presented) The method of claim 58, wherein the second designated price is based on a last trade price for the commodity.

60. (Previously Presented) The method of claim 58, wherein the second designated price is based on an inside market price for the commodity.

61. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels above the lowest value.

62. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls below the lowest value displayed along the static price axis.

63. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels below the highest value.

64. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls above the highest value displayed along the static price axis.

65. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the lowest value.

66. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the highest value.

67. (Previously Presented) The method of claim 55, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

68. (Previously Presented) The method of claim 55, further comprising receiving a manual command from a user input device to reposition the static price.

69. (Previously Presented) The method of claim 55, wherein the new desired location is a location that displays the first and second indicators substantially centered between the lowest value and the highest value along the static price axis.

70. (Previously Presented) The method of claim 55, further comprising:

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the static price axis; and

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

71. (Currently Amended) A computer readable medium having computer-readable instructions thereon, which when executed by a computer, cause the computer to perform a method comprising the following steps:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of an output device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first a number of a displayed plurality price levels that are displayed along a static price axis on a graphical user interface, wherein the displayed plurality of price levels start at a lowest value and end at a highest value, the number of the plurality of displayed price levels being adjustable in response to an input command to modify the number of the displayed plurality of price levels among a range of price levels to an adjusted number including the displayed plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first ~~depending on the adjusted number of the plurality of price levels;~~

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price

occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

72. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

73. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a manual command to reposition the static price.

74. (Currently Amended) A method for electronic trading of a commodity being traded at an electronic exchange, the method comprising:

electronically receiving market information for a tradeable object via a trading device, the market information identifying an inside market defined by a current highest bid price and a current lowest ask price;

displaying a variable number of displayed price levels of a static price axis via a graphical user interface of the trading device;

~~adjusting the [[a]] variable number of displayed price levels of a static price axis via a graphical user interface, the variable number of displayed price levels adjustable~~ within a range of displayed price levels of the static price axis in response to a user input identifying at least one of the variable number of price levels;

displaying an order display region via the graphical user interface, the order display region having a number of locations each corresponding to at least one of the variable number of price levels, the number of locations varying according to the at least one identified number of price levels;

displaying a highest bid price indicator and a lowest price indicator via the graphical user interface, each movable with respect to the static price axis according to changes in the inside market;

repositioning the static price axis with respect to the graphical user interface such according to the market information identifying an inside market being within a predetermined number of a limit of the range of the variable number of price levels of the static price axis.

## REMARKS

### I. Summary

Applicant thanks Examiner Weisberger for the thorough examination and summary provided in the Final Office Action mailed January 16, 2009 (“Office Action”), which set forth the following rejections:

- Claims 74 was deemed withdrawn from consideration as being directed to a non-elected species.
- Claims 55-74 were rejected under 35 U.S.C. § 112, ¶ 2 as being indefinite.
- Claims 55-74 were rejected under 35 U.S.C. § 103 as being unpatentable over TSE, *Next Generation Futures Option Trading System* (“TSE”).

Claims 55, 71 and 74 have been amended to clarify the claimed subject matter. Support for the amended claims may be found throughout the application. No new matter has been added. Applicant submits that the cited art does not disclose the features of the pending claims for at least the following reasons:

### II. Related Applications

Applicant understands that the Examiner reviews the claims and prosecution history of related applications as they contain common subject matter. For the purposes of the present application, Applicant hereby rescinds any disclaimer of claim scope that may have been (or may be) made during the prosecution of any related application. Applicant respectfully requests examination of the instant claims according to the claim language in light of the prior art without importing statements made by the Applicant in the prosecution of any related application.

### III. Election/Restriction

Claim 74 was previously deemed withdrawn from consideration. Since this submission is filed with a Request for Continued Examination, claim 74 is properly presented (with current amendments) for examination with claims 55-73. In addition, although the Office Action indicated that claim 74 was deemed withdrawn, Applicant notes that the examination of the application considered the subject matter of claim 74, since both of the other rejections asserted

in the Office Action identified the subject matter of claim 74 in the rejection. Accordingly, Applicant respectfully requests favorable consideration of claim 74, in addition to claims 55-73.

IV. Rejection under 35 U.S.C. 112, ¶ 2

Claims 55, 71 and 74 have been amended to clarify the subject matter. Accordingly, the rejection of claims 55-74 should be withdrawn.

V. Rejection under 35 U.S.C. 103

*Independent Claim 55 and 71*

In claims 55 and 71, market information, including an inside market with current highest bid and current lowest ask prices for a commodity, is received from an electronic exchange. A first plurality of price levels is displayed along a static price axis and is adjusted along the static price axis to an adjusted plurality of price levels. The static price axis is automatically repositioned when a designated price is within a designated number of price levels from a lowest or highest value along the static price axis of the displayed plurality of price levels.

In comparison to the claims, TSE relates to displaying content in a board screen in one of six formats (TSE 4(1)b; Chapter 7), where the format determines the size of the screen, and therefore, a number of prices in the board screen. (Chapter 7, 7-3-1). When a larger number of issues is selected (3-6 partition), each of the selected issues are shown in a smaller format. And when a smaller number of issues is selected (2-partition), the selected issues are shown in the larger format. In the larger format (2-partition board screen shown in TSE), the number of displayed prices is **20**, and in smaller partitions (both of the 4/6 partition screen), the number of prices shown is **6**. (Chapter 7, 7-3-1 see also Figure at 7-17). The price levels may be scrolled and updated, but TSE does not disclose that the displayed price levels may be adjusted. That is, according to TSE, the number of price levels for the larger format is always 20 and in the smaller format, the number of price levels is always 6.

The cited art does not disclose or suggest adjusting a displayed plurality of price levels as included in claims 55 and 71. In TSE, the number of displayed price levels remains constant at either the selected larger format, where the number of price levels **is fixed at 20**, or the smaller format, where the number of price levels **is fixed at 6**. Nothing in TSE discloses or suggests that the price levels may be adjusted.

Although the format for display board may be selected, nothing in TSE discloses or suggests that the selection of a format adjusts a plurality of price levels “among a range of price levels to an adjusted plurality of price levels” as included in the claims. To the contrary, the selection in TSE is for the number of issues to be displayed, and not to adjust a number of a displayed plurality of price levels. Again, the number of price levels in TSE is fixed at 6 or 20 and does not include a range. Therefore, in TSE, there is no modifying a number of price levels among a range.

As such, Applicant respectfully submits that TSE does not disclose or suggest features of the claims. Applicant respectfully submits that the invention of the claims is non-obvious.

*Independent Claim 74*

Independent claim 74 relates to a method for electronic trading where a variable number of a plurality price levels is displayed along a static price axis on a graphical user interface. The variable number of displayed price levels is adjustable within a range of price levels in response to a user input identifying at least one of the number of price levels. As discussed, TSE does not disclose or suggest the feature of displaying a variable number of plurality of price levels. Accordingly, Applicant asserts that claim 74 is also non-obvious over the cited art.

*Dependent Claims*

Applicant respectfully submits that the dependent claims are allowable for at least the same reasons as their respective independent claims, as well as for the additional features recited. Accordingly, withdrawal of the rejection is respectfully requested.

VI. Previous Official Notice Taken By The Examiner

Applicant notes that the rejection of the claims in the previous office action acknowledged that the feature of “receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis” is not disclosed or suggested by the cited art. The previous office action cited no prior art reference to support that the assertion that the feature and motivation was known. In response, Applicant requested the Examiner to supply an affidavit supporting such facts and/or Official Notice, as required by the MPEP at 2144.03 to afford Applicant an opportunity to challenge the correctness of the assertion, or remove the assertion.



Appln No. 11/417,547  
Dated March 05, 2009  
Reply to Final Office Action mailed January 16, 2009

The assertion and an affidavit are not present in the Office Action. Accordingly, it appears that the previous assertion has been withdrawn.

VII. Conclusion

Applicants submit that the present application is in condition for allowance. If the Examiner believes that further dialog would expedite issuance, the Examiner is invited contact Trading Technologies in-house Patent Counsel Joseph Flerlage at 312-698-6065.

Respectfully submitted,  
**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: March 05, 2009

By: /Jeffrey P. Armstrong/  
Jeffrey P. Armstrong  
Reg. No. 54,967

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		11417547	
	Filing Date		2006-05-03	
	First Named Inventor	Jens-Uwe Schluetter		
	Art Unit	3693		
	Examiner Name	Richard C. Weisberger		
	Attorney Docket Number	02-211-Z6		

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6993504		2006-01-31	Friesen. et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

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FOREIGN PATENT DOCUMENTS								
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> j	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
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If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	11417547		
Filing Date	2006-05-03		
First Named Inventor	Jens-Uwe Schluetter		
Art Unit	3693		
Examiner Name	Richard C. Weisberger		
Attorney Docket Number	02-211-Z6		

	1		<input type="checkbox"/>
--	---	--	--------------------------

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	11417547		
Filing Date	2006-05-03		
First Named Inventor	Jens-Uwe Schluetter		
Art Unit	3693		
Examiner Name	Richard C. Weisberger		
Attorney Docket Number	02-211-Z6		

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

See attached certification statement.

Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Jeffrey P. Armstrong/	Date (YYYY-MM-DD)	2009-03-05
Name/Print	Jeffrey P. Armstrong	Registration Number	54,967

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417547
<b>Filing Date:</b>	03-May-2006
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Filer:</b>	Jeffrey Armstrong
<b>Attorney Docket Number:</b>	02-211-Z6

Filed as Large Entity

### Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Request for continued examination	1801	1	810	810
<b>Total in USD (\$)</b>				<b>810</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	4915191
<b>Application Number:</b>	11417547
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8101
<b>Title of Invention:</b>	System and method for automatic repositioning of market information in a graphical user interface
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Customer Number:</b>	39310
<b>Filer:</b>	Jeffrey Armstrong
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	02-211-Z6
<b>Receipt Date:</b>	05-MAR-2009
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	19:57:26
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$810
RAM confirmation Number	5348
Deposit Account	132490
Authorized User	

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
		0478			

1	Request for Continued Examination (RCE)	02_211_Z6_RCE.pdf	179770	no	2
			20de47e6107bb64c56c52a0d5bba7e1183a6536d		
<b>Warnings:</b>					
This is not a USPTO supplied RCE SB30 form.					
<b>Information:</b>					
2		02_211_Z_Response_to_Final_OA.pdf	164001	yes	11
			bb083a6eb2f365f26767bfabe6cc4f685a125523		
	<b>Multipart Description/PDF files in .zip description</b>				
	<b>Document Description</b>		<b>Start</b>	<b>End</b>	
	Amendment Submitted/Entered with Filing of CPA/RCE		1	1	
	Claims		2	7	
	Applicant Arguments/Remarks Made in an Amendment		8	11	
<b>Warnings:</b>					
<b>Information:</b>					
3	Information Disclosure Statement (IDS) Filed (SB/08)	02_211_Z6_IDS.pdf	347310	no	3
			06ad11c69a6ef0c0e2acc98b751048a3bfd2b5a2		
<b>Warnings:</b>					
<b>Information:</b>					
This is not an USPTO supplied IDS fillable form					
4	Fee Worksheet (PTO-06)	fee-info.pdf	29949	no	2
			5982151cld28a7f922cf679871551ee014408479		
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			721030		



**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>11/417,547</b>	Filing Date <b>05/03/2006</b>	<input type="checkbox"/> To be Mailed
---	---	----------------------------------	---------------------------------------

APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	SMALL ENTITY <input type="checkbox"/>	OR			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)		RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		OR	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		OR	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).				OR		
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>					OR		
			TOTAL		OR	TOTAL	

\* If the difference in column 1 is less than zero, enter "0" in column 2.

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	03/05/2009	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 20	Minus ** 34	= 0	X \$ =		OR	X \$52=	0
	Independent (37 CFR 1.16(h))	* 3	Minus ***3	= 0	X \$ =		OR	X \$220=	0
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))						OR		
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR		
AMENDMENT	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus **	=	X \$ =		OR	X \$ =
	Independent (37 CFR 1.16(h))	*	Minus ***	=	X \$ =		OR	X \$ =
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

Legal Instrument Examiner:  
 /GYZELL P. JOHNSON SMITH/

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



NOTICE OF ALLOWANCE AND FEE(S) DUE

39310 7590 05/20/2009

MBHB/TRADING TECHNOLOGIES
300 SOUTH WACKER DRIVE
SUITE 3200
CHICAGO, IL 60606

EXAMINER: WEISBERGER, RICHARD C
ART UNIT: 3693 PAPER NUMBER:
DATE MAILED: 05/20/2009

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.

11/417,547 05/03/2006 Jens-Uwe Schluetter 02-211-Z6 8101

TITLE OF INVENTION: SYSTEM AND METHOD FOR AUTOMATIC REPOSITIONING OF MARKET INFORMATION IN A GRAPHICAL USER INTERFACE

Table with 7 columns: APPLN. TYPE, SMALL ENTITY, ISSUE FEE DUE, PUBLICATION FEE DUE, PREV. PAID ISSUE FEE, TOTAL FEE(S) DUE, DATE DUE

nonprovisional NO \$1510 \$300 \$0 \$1810 08/20/2009

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

**PART B - FEE(S) TRANSMITTAL**

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 or Fax (571)-273-2885**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

39310 7590 05/20/2009

**MBHB/TRADING TECHNOLOGIES**  
 300 SOUTH WACKER DRIVE  
 SUITE 3200  
 CHICAGO, IL 60606

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

_____ (Depositor's name)
_____ (Signature)
_____ (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	Jens-Uwe Schluetter	02-211-Z6	8101

**TITLE OF INVENTION:** SYSTEM AND METHOD FOR AUTOMATIC REPOSITIONING OF MARKET INFORMATION IN A GRAPHICAL USER INTERFACE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	08/20/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
WEISBERGER, RICHARD C	3693	705-037000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. <b>Use of a Customer Number is required.</b></p>	<p>2. For printing on the patent front page, list</p> <p>(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____</p> <p>(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 _____</p> <p>3 _____</p>
---	---

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE \_\_\_\_\_ (B) RESIDENCE: (CITY AND STATE OR COUNTRY) \_\_\_\_\_

Please check the appropriate assignee category or categories (will not be printed on the patent) :  Individual  Corporation or other private group entity  Government

<p>4a. The following fee(s) are submitted:</p> <p><input type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
---	--

5. Change in Entity Status (from status indicated above)

a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.  b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

**NOTE:** The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_ Registration No. \_\_\_\_\_

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P. O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
11/417,547 05/03/2006 Jens-Uwe Schluetter 02-211-Z6 8101

39310 7590 05/20/2009
MBHB/TRADING TECHNOLOGIES
300 SOUTH WACKER DRIVE
SUITE 3200
CHICAGO, IL 60606

EXAMINER

WEISBERGER, RICHARD C

ART UNIT PAPER NUMBER

3693

DATE MAILED: 05/20/2009

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 0 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 0 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

**Notice of Allowability**

<b>Application No.</b> 11/417,547	<b>Applicant(s)</b> SCHLUETTER ET AL.	
<b>Examiner</b> Richard C. Weisberger	<b>Art Unit</b> 3693	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

- 1.  This communication is responsive to 03/05/2009.
- 2.  The allowed claim(s) is/are 55-69.
- 3.  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All   b)  Some\*   c)  None   of the:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

- 4.  A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  - 5.  CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
    - (a)  including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
      - 1)  hereto or 2)  to Paper No./Mail Date \_\_\_\_\_.
    - (b)  including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
- 6.  DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- 1.  Notice of References Cited (PTO-892)
- 2.  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3.  Information Disclosure Statements (PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
- 4.  Examiner's Comment Regarding Requirement for Deposit of Biological Material
- 5.  Notice of Informal Patent Application
- 6.  Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_.
- 7.  Examiner's Amendment/Comment
- 8.  Examiner's Statement of Reasons for Allowance
- 9.  Other \_\_\_\_\_.

/Richard C Weisberger/  
Primary Examiner  
Art Unit: 3693


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**BIB DATA SHEET**
**CONFIRMATION NO. 8101**

SERIAL NUMBER	FILING or 371(c) DATE RULE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.		
11/417,547	05/03/2006	705	3693	02-211-Z6		
<b>APPLICANTS</b> Jens-Uwe Schluetter, Evanston, IL; Harris C. Brumfield, Chicago, IL;						
<b>** CONTINUING DATA *****</b> This application is a CON of 10/403,881 03/31/2003 which is a CON of 10/125,894 04/19/2002 PAT 7,389,268 which is a CIP of 09/971,087 10/05/2001 PAT 7,127,424 which claims benefit of 60/238,001 10/06/2000 and said 10/125,894 04/19/2002 is a CIP of 09/590,692 06/09/2000 PAT 6,772,132 and is a CIP of 09/589,751 06/09/2000 PAT 6,938,011 and said 09/590,692 06/09/2000 claims benefit of 60/186,322 03/02/2000 and said 09/589,751 06/09/2000 claims benefit of 60/186,322 03/02/2000 and said 10/125,894 04/19/2002 claims benefit of 60/325,553 10/01/2001						
<b>** FOREIGN APPLICATIONS *****</b>						
<b>** IF REQUIRED, FOREIGN FILING LICENSE GRANTED **</b> 06/02/2006						
Foreign Priority claimed 35 USC 119(a-d) conditions met Verified and Acknowledged	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No /RICHARD C WEISBERGER/ Examiner's Signature	<input type="checkbox"/> Met after Allowance _____ Initials	<b>STATE OR COUNTRY</b> IL	<b>SHEETS DRAWINGS</b> 27	<b>TOTAL CLAIMS</b> 1	<b>INDEPENDENT CLAIMS</b> 1
<b>ADDRESS</b> MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606 UNITED STATES						
<b>TITLE</b> System and method for automatic repositioning of market information in a graphical user interface						
<b>FILING FEE RECEIVED</b> 1180	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:			<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____		

<input type="checkbox"/> Credit
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<b>Issue Classification</b> 	<b>Application/Control No.</b> 11417547	<b>Applicant(s)/Patent Under Reexamination</b> SCHLUETTER ET AL.
	<b>Examiner</b> Richard C Weisberger	<b>Art Unit</b> 3693

ORIGINAL				INTERNATIONAL CLASSIFICATION									
CLASS		SUBCLASS		CLAIMED				NON-CLAIMED					
705		37		G	0	6	Q	40 / 00 (2006.01.01)					
<b>CROSS REFERENCE(S)</b>													
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)												
705	35												

<input type="checkbox"/> <b>Claims renumbered in the same order as presented by applicant</b> <input type="checkbox"/> <b>CPA</b> <input type="checkbox"/> <b>T.D.</b> <input type="checkbox"/> <b>R.1.47</b>															
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
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NONE		<b>Total Claims Allowed:</b>	
		15	
(Assistant Examiner)	(Date)	O.G. Print Claim(s)	O.G. Print Figure
/R. C. W./ Primary Examiner. Art Unit 3693	03/30/2009	1	1
(Primary Examiner)	(Date)		

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		11417547	
	Filing Date		2006-05-03	
	First Named Inventor	Jens-Uwe Schluetter		
	Art Unit	3693		
	Examiner Name	Richard C. Weisberger		
	Attorney Docket Number	02-211-Z6		

U.S.PATENTS						
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6993504		2006-01-31	Friesen. et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS						
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

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FOREIGN PATENT DOCUMENTS								
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> j	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

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NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	11417547	
Filing Date	2006-05-03	
First Named Inventor	Jens-Uwe Schluetter	
Art Unit	3693	
Examiner Name	Richard C. Weisberger	
Attorney Docket Number	02-211-Z6	

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**EXAMINER SIGNATURE**

Examiner Signature	/Richard Weisberger/	Date Considered	03/30/2009
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.


<b>Search Notes</b>  	<b>Application/Control No.</b>  11417547	<b>Applicant(s)/Patent Under Reexamination</b>  SCHLUETTER ET AL.
	<b>Examiner</b>  Richard C Weisberger	<b>Art Unit</b>  3693

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>
705	35-45	3/20089	rw

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
Dialog	3/20089	rw

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>
705	37	3/2009	rw

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<b>Issue Classification</b> 	<b>Application/Control No.</b> 11417547	<b>Applicant(s)/Patent Under Reexamination</b> SCHLUETTER ET AL.
	<b>Examiner</b> Richard C Weisberger	<b>Art Unit</b> 3693

ORIGINAL				INTERNATIONAL CLASSIFICATION									
CLASS		SUBCLASS		CLAIMED				NON-CLAIMED					
705		37		G	0	6	Q	40 / 00 (2006.01.01)					
<b>CROSS REFERENCE(S)</b>													
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)												
705	35												

<input type="checkbox"/> Claims renumbered in the same order as presented by applicant																<input type="checkbox"/> CPA		<input type="checkbox"/> T.D.		<input type="checkbox"/> R.1.47	
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original						
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16	70																				

NONE		<b>Total Claims Allowed:</b>	
		19	
(Assistant Examiner)	(Date)	O.G. Print Claim(s)	O.G. Print Figure
/R. C. W./ Primary Examiner. Art Unit 3693	03/30/2009	1	1
(Primary Examiner)	(Date)		





**PART B - FEE(S) TRANSMITTAL**

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	(Signature)
	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	JENS-UWE SCHLUETTER	02-211-Z6	8101

TITLE OF INVENTION:

SYSTEM AND METHOD FOR AUTOMATIC REPOSITIONING OF MARKET INFORMATION IN A GRAPHICAL USER INTERFACE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
NONPROVISIONAL	NO	\$1510	\$300	\$1810	08/20/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
WEISBERGER, RICHARD C.	3693	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).  
 Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
 "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list  
 (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. MCDONNELL BOEHNEN  
 2. HULBERT & BERGHOFF LLP  
 3. \_\_\_\_\_

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**5. Change in Entity Status (from status indicated above)**

a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.  b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above. NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature /Jeffrey P. Armstrong/ Date JULY 16, 2009  
 Typed or printed name JEFFREY P. ARMSTRONG Registration No. 54,967

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(MBHB Docket No. 02-211-Z6)

In the Application of:	)	
	)	
Jens-Uwe Schluetter et al.	)	Art Unit: 3693
	)	
Ser. No.: 11/417,547	)	Examiner: Richard C. Weisberger
	)	
Filed: May 03, 2006	)	Confirmation No. 8101
	)	
For: System and Method for Automatic	)	
Repositioning of Market Information	)	
in a Graphical User Interface	)	

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**AMENDMENT UNDER 37 C.F.R. § 1.312**

Dear Sir:

Applicants submit the following **AMENDMENTS** and **REMARKS** in the above-captioned application pursuant to 37 C.F.R. § 1.312.

**AMENDMENTS TO THE CLAIMS** begin on page 2.

**REMARKS** appear on page 9.

## AMENDMENTS TO THE CLAIMS

1-54. (Canceled)

55. (Previously Presented) A method for repositioning a static price axis on a graphical user interface for displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of a display device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first plurality price levels among a range of price levels to an adjusted plurality of price levels including the first plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first plurality of price levels;

displaying a first indicator representing a quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price

occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing a quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

56. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on a last trade price for the commodity.

57. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on an inside market price for the commodity.

58. (Previously Presented) The method of claim 55, further comprising the step of establishing a second designated price and automatically repositioning the static price axis on the graphical user interface to position the second designated price at a predetermined location in relation to the static price axis, wherein the current inside market price is displayed at the new location responsive to the step of automatically repositioning the static price axis.

59. (Previously Presented) The method of claim 58, wherein the second designated price is based on a last trade price for the commodity.

60. (Previously Presented) The method of claim 58, wherein the second designated price is based on an inside market price for the commodity.

61. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels above the lowest value.

62. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls below the lowest value displayed along the static price axis.

63. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels below the highest value.

64. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls above the highest value displayed along the static price axis.

65. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the lowest value.

66. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the highest value.

67. (Previously Presented) The method of claim 55, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

68. (Previously Presented) The method of claim 55, further comprising receiving a manual command from a user input device to reposition the static price.

69. (Previously Presented) The method of claim 55, wherein the new desired location is a location that displays the first and second indicators substantially centered between the lowest value and the highest value along the static price axis.

70. (Previously Presented) The method of claim 55, further comprising:  
displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the static price axis; and  
in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

71. (Currently Amended) A computer readable medium having computer-readable instructions thereon, which when executed by a computer, cause the computer to perform a method comprising:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of an output device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first plurality price levels ~~displayed plurality of price levels~~ among a range of price levels to an adjusted plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask

price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

72. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

73. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a manual command to reposition the static price.

74. (Previously Presented) A method for electronic trading of a commodity being traded at an electronic exchange, the method comprising:

electronically receiving market information for a tradeable object via a trading device, the market information identifying an inside market defined by a current highest bid price and a current lowest ask price;

displaying a variable number of displayed price levels of a static price axis via a graphical user interface of the trading device;

adjusting the variable number of displayed price levels within a range of displayed price levels of the static price axis in response to a user input identifying at least one of the variable number of price levels;

displaying an order display region via the graphical user interface, the order display region having a number of locations each corresponding to at least one of the variable number of price levels, the number of locations varying according to the at least one identified number of price levels;

displaying a highest bid price indicator and a lowest price indicator via the graphical user interface, each movable with respect to the static price axis according to changes in the inside market;

repositioning the static price axis with respect to the graphical user interface such according to the market information identifying an inside market being within a predetermined number of a limit of the range of the variable number of price levels of the static price axis.



## REMARKS

Applicants respectfully request entry of the present amendment under 37 CFR § 1.312 to correct a typographical error that appeared in Applicants' March 05, 2009 Response to the Final Office Action mailed on January 16, 2009.

In the March 05, 2009 Response, certain text in claim 71 included both underline and strikethrough notations, and thus, it was unclear whether the particular text at issue should have been added or deleted. In the present amendment, Applicants have clarified the language of claim 71 with a strikethrough of the appropriate text. No new matter has been added, and no additional search or examination is required.

Because the present amendment merely corrects an earlier ministerial error, and because the amendment does not change the scope of the claims as allowed, Applicants respectfully request entry of the present amendment pursuant to 37 C.F.R. § 1.312.

If further dialog is required for consideration and entry of the amendment, the Office is invited to telephone Trading Technologies in-house Patent Counsel Joseph Flerlage at 312-698-6065, or the undersigned attorney.

Respectfully submitted,  
McDonnell Boehnen Hulbert & Berghoff LLP

Date: July 16, 2009

By: / Jeffrey P. Armstrong /  
Jeffrey P. Armstrong  
Registration No. 54,967

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	11417547
<b>Filing Date:</b>	03-May-2006
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR AUTOMATIC REPOSITIONING OF MARKET INFORMATION IN A GRAPHICAL USER INTERFACE
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Filer:</b>	Jeffrey Armstrong
<b>Attorney Docket Number:</b>	02-211-Z6

Filed as Large Entity

### Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				
Utility Appl issue fee	1501	1	1510	1510
Publ. Fee- early, voluntary, or normal	0506 1504	1	300	300

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Extension-of-Time:</b>				
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1810</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5713811
<b>Application Number:</b>	11417547
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8101
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR AUTOMATIC REPOSITIONING OF MARKET INFORMATION IN A GRAPHICAL USER INTERFACE
<b>First Named Inventor/Applicant Name:</b>	Jens-Uwe Schluetter
<b>Customer Number:</b>	39310
<b>Filer:</b>	Jeffrey Armstrong
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	02-211-Z6
<b>Receipt Date:</b>	16-JUL-2009
<b>Filing Date:</b>	03-MAY-2006
<b>Time Stamp:</b>	13:03:06
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$1810
RAM confirmation Number	10396
Deposit Account	132490
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Issue Fee Payment (PTO-85B)	02_211_Z6_Issue_Fee_Transmittal_Form85.pdf	192116 b66d75dc9d76c48d2d714265f341c440054e8ad1	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2		02_211_Z6_Amendment_1_312.pdf	92088 36298c13aa49b813a31126f0004aa21a84548ee4	yes	9
	<b>Multipart Description/PDF files in .zip description</b>				
	<b>Document Description</b>		<b>Start</b>	<b>End</b>	
	Amendment after Notice of Allowance (Rule 312)		1	1	
	Claims		2	8	
	Applicant Arguments/Remarks Made in an Amendment		9	9	
<b>Warnings:</b>					
<b>Information:</b>					
3	Fee Worksheet (PTO-875)	fee-info.pdf	31978 84d9be51cab8ce7d80427389f4361f17a7121fbc	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			316182		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					

## AMENDMENTS TO THE CLAIMS

1-54. (Canceled)

55. (Previously Presented) A method for repositioning a static price axis on a graphical user interface for displaying market information of a commodity being traded at an electronic exchange, the method comprising:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of a display device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first plurality price levels among a range of price levels to an adjusted plurality of price levels including the first plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first plurality of price levels;

displaying a first indicator representing a quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price

occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing a quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

56. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on a last trade price for the commodity.

57. (Previously Presented) The method of claim 55, further comprising the step of establishing that the designated price is based on an inside market price for the commodity.

58. (Previously Presented) The method of claim 55, further comprising the step of establishing a second designated price and automatically repositioning the static price axis on the graphical user interface to position the second designated price at a predetermined location in relation to the static price axis, wherein the current inside market price is displayed at the new location responsive to the step of automatically repositioning the static price axis.

59. (Previously Presented) The method of claim 58, wherein the second designated price is based on a last trade price for the commodity.

60. (Previously Presented) The method of claim 58, wherein the second designated price is based on an inside market price for the commodity.

61. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels above the lowest value.

62. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls below the lowest value displayed along the static price axis.

63. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is within the designated number of price levels below the highest value.

64. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price falls above the highest value displayed along the static price axis.

65. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the lowest value.



66. (Previously Presented) The method of claim 55, further comprising receiving the reposition command to reposition the static price axis when the designated price is at the highest value.

67. (Previously Presented) The method of claim 55, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

68. (Previously Presented) The method of claim 55, further comprising receiving a manual command from a user input device to reposition the static price.

69. (Previously Presented) The method of claim 55, wherein the new desired location is a location that displays the first and second indicators substantially centered between the lowest value and the highest value along the static price axis.

70. (Previously Presented) The method of claim 55, further comprising:  
displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the static price axis; and  
in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

71. (Currently Amended) A computer readable medium having computer-readable instructions thereon, which when executed by a computer, cause the computer to perform a method comprising:

receiving market information relating to a commodity from an electronic exchange via a computing device, the market information comprising an inside market with a current highest bid price and a current lowest ask price for the commodity;

displaying a first plurality of price levels along a static price axis on a graphical user interface of an output device associated with the computing device, where the first plurality of price levels range from a lowest value to a highest value along the static price axis;

in response to an input command received via an input device associated with the computing device, adjusting the first plurality price levels ~~displayed plurality of price levels~~ among a range of price levels to an adjusted plurality of price levels;

displaying a bid and ask display region on the graphical user interface, the bid and ask display region comprising a plurality of locations corresponding to the first plurality of price levels displayed along the static price axis, wherein each location corresponds to one of the first plurality of price levels, and wherein a number of the plurality of locations changes according to adjusting the first plurality of price levels;

displaying a first indicator representing quantity associated with the current highest bid price at a first location in the plurality of locations of the bid and ask display region, wherein the first indicator ascends or descends the static price axis as changes in the current highest bid price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless a reposition command is received;

displaying a second indicator representing quantity associated with the current lowest ask price at a second location in the plurality of locations of the bid and ask display region, wherein the second indicator ascends or descends the static price axis as changes in the current lowest ask

price occur as a result of each of the plurality of price levels along the static price axis not changing positions on the graphical user interface unless the reposition command is received;

receiving the reposition command to reposition the static price axis when a designated price is within a designated number of price levels from the lowest value or the highest value along the static price axis; and

responsive to receiving the reposition command, automatically repositioning the static price axis on the graphical user interface such that a current inside market price is displayed at a new desired location.

72. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a second reposition command to reposition the static price axis when a timer expires.

73. (Previously Presented) The computer readable medium of claim 71, further comprising receiving a manual command to reposition the static price.

74. (Previously Presented) A method for electronic trading of a commodity being traded at an electronic exchange, the method comprising:

electronically receiving market information for a tradeable object via a trading device, the market information identifying an inside market defined by a current highest bid price and a current lowest ask price;

displaying a variable number of displayed price levels of a static price axis via a graphical user interface of the trading device;

adjusting the variable number of displayed price levels within a range of displayed price levels of the static price axis in response to a user input identifying at least one of the variable number of price levels;

displaying an order display region via the graphical user interface, the order display region having a number of locations each corresponding to at least one of the variable number of price levels, the number of locations varying according to the at least one identified number of price levels;

displaying a highest bid price indicator and a lowest price indicator via the graphical user interface, each movable with respect to the static price axis according to changes in the inside market;

repositioning the static price axis with respect to the graphical user interface such according to the market information identifying an inside market being within a predetermined number of a limit of the range of the variable number of price levels of the static price axis.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	Jens-Uwe Schluetter	02-211-Z6	8101
39310	7590	02/19/2010	EXAMINER	
MBHB/TRADING TECHNOLOGIES 300 SOUTH WACKER DRIVE SUITE 3200 CHICAGO, IL 60606			WEISBERGER, RICHARD C	
			ART UNIT	PAPER NUMBER
			3693	
			NOTIFICATION DATE	DELIVERY MODE
			02/19/2010	ELECTRONIC

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APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
11417547	5/3/06	SCHLUETTER ET AL.	02-211-Z6

MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL 60606

**EXAMINER**

Richard C. Weisberger

ART UNIT	PAPER
3693	20100211

3693 20100211

DATE MAILED:

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**Commissioner for Patents**

Richard C Weisberger  
Primary Examiner  
Art Unit: 3693

Art Unit: 3693

Newly submitted claim 74 is directed to an invention that is independent or distinct from the invention originally claimed for the following reasons:

Since applicant has received an action on the merits for the originally presented invention, this invention has been constructively elected by original presentation for prosecution on the merits. Accordingly, claim 74 is \*\*\* withdrawn from consideration as being directed to a non-elected invention. See 37 CFR 1.142(b) and MPEP § 821.03.

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Mark Triplet on October 1, 2009

Claim 74 has been cancelled without prejudice.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Richard C. Weisberger whose telephone number is 571 272 6753. The examiner can normally be reached on 8:30-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on 571 272 6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3693

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Richard C Weisberger  
Primary Examiner  
Art Unit 3693

/Richard C Weisberger/  
Primary Examiner, Art Unit 3693







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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	05/03/2006	Jens-Uwe Schluetter	02-211-Z6	8101
39310	7590	02/22/2010	EXAMINER	
MBHB/TRADING TECHNOLOGIES			WEISBERGER, RICHARD C	
300 SOUTH WACKER DRIVE			ART UNIT	PAPER NUMBER
SUITE 3200			3693	
CHICAGO, IL 60606			NOTIFICATION DATE	DELIVERY MODE
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	Application No.	Applicant(s)
<b>Response to Rule 312 Communication</b>	11/417,547	SCHLUETTER ET AL.
	Examiner	Art Unit

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

1.  The amendment filed on 16 July 2009 under 37 CFR 1.312 has been considered, and has been:

a)  entered.

b)  entered as directed to matters of form not affecting the scope of the invention.

c)  disapproved because the amendment was filed after the payment of the issue fee.

Any amendment filed after the date the issue fee is paid must be accompanied by a petition under 37 CFR 1.313(c)(1) and the required fee to withdraw the application from issue.

d)  disapproved. See explanation below.

e)  entered in part. See explanation below.

B.Crittenden

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		Application Number	11/417,547
		Filing Date	May 3, 2006
		First Named Inventor	Brumfield
		Art Unit	3693
		Examiner Name	Weisberger
		Attorney Docket Number	02-211-Z6
Sheet	4	of	6

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Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		us- 5,675,746	10-7-97	Marshall	
		us- 5,774,878	6-30-98	Marshall	
		us- 6,014,643	1-11-00	Minton	
		us- 6,073,115	6-6-00	Marshall	
		us- 6,161,098	12-12-00	Wallman	
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		us- 2003/0004852	1-2-03	Burns	
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		us- 2003/0065608	4-3-03	Cutler	
		us- 2004/0093300	5-13-04	Burns	
		us- <del>2004/013954</del>	5-27-04	Singer 2004/0103054	
		us- 2004/0117292	6-17-04	Brumfield	

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	Application Number	11/417,547	
	Filing Date	May 3, 2006	
	First Named Inventor	Brumfield	
	Art Unit	3693	
	Examiner Name	Weisberger	
	Attorney Docket Number	02-211-Z6	
Sheet	2	of	6

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		us- 5,924,082	7-13-99	Silverman	
		us- 5,924,083	7-13-99	Silverman	
		us- 5,926,801	7-20-99	Matsubara	
		us- 5,946,667	8-31-99	Tull	
		us- 5,963,923	10-5-99	Garber	
		us- 6,012,046	1-4-00	Lupien	
		us- 6,035,287	3-7-00	Stallaert	
		us- 6,098,051	8-1-00	Lupien	
		us- 6,131,087	10-10-00	Luke	
		us- 6,134,535	10-17-00	Belzberg	
		us- 6,195,647	2-27-01	Martyn	
		us- 6,272,474	8-7-01	Garcia	
		us- 6,278,982	8-21-01	Korhammer	
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		us- 6,876,981	4-5-05	Berckmans	
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		us- 7,155,410	12-26-06	Woodmansey	

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		Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known)				

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	Application Number	11/417,547	
	Filing Date	May 3, 2006	
	First Named Inventor	Brumfield	
	Art Unit	3693	
	Examiner Name	Weisberger	
Sheet	1	of	6
	Attorney Docket Number	02-211-Z6	

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		us- 4,674,044	6-16-87	Kalmus	
		us- <del>4,754,036</del> 4,750,135	6-7-88	Boilen	
		us- 4,903,201	2-20-90	Wagner	
		us- 5,038,284	8-6-91	Kramer	
		us- 5,077,665	12-31-91	Silverman	
		us- 5,101,353	3-31-92	Lupien	
		us- 5,136,501	8-4-92	Silverman	
		us- 5,270,922	12-14-93	Higgins	
		us- 5,297,031	3-22-94	Gutterman	
		us- 5,297,032	3-22-94	Trojan	
		us- 5,689,651	11-18-97	Lozman	
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		us- 5,774,877	6-30-98	Patterson	
		us- 5,793,301	11-8-98	Patterson	
		us- 5,797,002	8-18-98	Patterson	
		us- 5,845,266	12-1-98	Lupien	
		us- 5,873,071	2-16-99	Ferstenberg	
		us- 5,915,245	6-22-99	Patterson	

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		Country Code <sup>3</sup>	Number <sup>4</sup> "Kind Code <sup>5</sup> (if known)				
		WO	02/33621	4-25-02	Otero et al		
		WO	02/33623	4-25-02	Otero et al		
		WO	02/33636	4-25-02	Otero et al		
		WO	02/33637	4-25-02	Otero et al		
		WO	01/27843	4-19-01	Gilman et al		

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>FORM PTO-1449</b> (Rev. 2-32)	<b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>	<b>Atty. Docket No.</b> 02-211-B	<b>Serial No.</b> <del>167403-901</del>
		<b>Applicant:</b> Brumfield et al.	
		<b>Filing Date:</b> 3/31/2003	<b>Group:</b> 3624

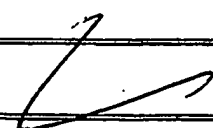
**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
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**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
	WO01/88808A1	11/22/2001	PCT				
	WO02/15461A2	2/21/2002	PCT				
	WO02 WO20/48945A1	8/20/2002	PCT				
	WO01/16852C1 3/2001	<del>8/27/2002</del>	PCT				
	WO02 WO20/59815A1	8/1/2002	PCT				
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	WO02 WO20/79940A2	10/10/2002	PCT				
	WO02 WO20/93325A2	11/21/2002	PCT				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	USPTO Presentation, NASDAQ, November 8, 2001
	Kharouf; A Trading Room with a View, Futures, 27, 11 - 11/1998
	www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/01) 6/9/2000

<b>EXAMINER</b> 	<b>DATE CONSIDERED</b> 4/07
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<b>FORM PTO-1449</b> (Rev. 2-32)	<b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>		<b>Atty. Docket No.</b> 02-211-B	<b>Serial No.</b> <del>10403,881</del>
			<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)	
			<b>Applicant:</b> Schluetter et al.	
			<b>Filing Date:</b> 3/31/2003	<b>Group:</b> 3624

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
	W09114231A1	9/19/1991	PCT				
	W09849639A1	11/5/1998	PCT				
	W09919821A1	4/22/1999	PCT				
	W09953424A1	10/21/1999	PCT				
	W00122315A3	3/29/2001	PCT				
	W00165403A2	9/7/2001	PCT				
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	W00229686A1	4/11/2002	PCT				
	W003090032A2	10/30/2003	PCT				

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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/417,547	03/23/2010	7685055	02-211-Z6	8101

39310 7590 03/03/2010  
MBHB/TRADING TECHNOLOGIES  
300 SOUTH WACKER DRIVE  
SUITE 3200  
CHICAGO, IL 60606

**ISSUE NOTIFICATION**

The projected patent number and issue date are specified above.

**Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)**  
(application filed on or after May 29, 2000)

The Patent Term Adjustment is 0 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

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